

Approved For Release 2001/11/16 : CIA-RDP78-00433A000100150006-0

~~SECRET~~

33A000100150006-0

OGC Has Reviewed

CONFIDENTIAL

CENTRAL INTELLIGENCE AGENCY

# RECORDS MANAGEMENT PROGRAM

STATUS AS OF 31 DECEMBER 1954

REC	3	REV DATE	5-4-81	BY	[REDACTED]
ORIG COMP	-	OPI	30	TYPE	11
ORIG CLASS	5	PAGES	107	REV CLASS	C
JUST	22	NEXT REV	2011	AUTH:	HR 10-8

25X1A

RECORDS CREATION

RECORDS MAINTENANCE

RECORDS DISPOSITION

REC	✓	REV DATE	5-4-81	BY	[REDACTED]
ORIG COMP	✓	OPI	30	TYPE	11
ORIG CLASS	✓	PAGES	107	REV CLASS	C
JUST	✓	NEXT REV	2011	AUTH:	HR 10-8

MANAGEMENT STAFF  
RECORDS MANAGEMENT DIVISION

CONFIDENTIAL

~~SECRET~~

Approved For Release 2001/11/16 : CIA-RDP78-00433A000100150006-0

CONTENTS

	<u>Page</u>
Why the Program is Needed.....	1
What is Being Done About Our Records Problem.....	3
Forms Management.....	4
Reports Management.....	5
Correspondence Management.....	6
Records Systems.....	7
Microfilm Program.....	8
Vital Materials Program.....	9
Mail Control System.....	10
Records Disposition.....	11
Records Center Operations.....	12
What's Left to be Done.....	13

~~CONFIDENTIAL~~

25X1A

25X1A

RECORDS  
11 December 1956

## RECORDS MANAGEMENT

**SYNOPSIS:** This regulation provides for a continuing Agency Records Management Program to control and improve records from their creation or receipt to their disposition.

Rescission: [REDACTED] dated 14 July 1951

### CONTENTS

	Page
GENERAL . . . . .	1
POLICIES . . . . .	1
RESPONSIBILITIES . . . . .	2

## 1. GENERAL

### a. SCOPE

All record material of the Agency is encompassed by this regulation, including that transmitted electrically.

### b. RECORD MATERIAL

For the purpose of this regulation, record material is defined as: all books, papers, maps, photographs, films, recordings, or other documents and material regardless of physical form or characteristics, made or received by any part of the Central Intelligence Agency pursuant to Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by CIA or its legitimate predecessor or successor organizations as evidence of the organization, functions, policies, personnel, decisions, procedures, financial or legal transaction, operations, or other activities or because of the informational value of data contained therein. "Records" and "record material" may be used interchangeably.

### c. RECORDS MANAGEMENT PROGRAM

The Records Management Program consists of the elements listed and described below:

- (1) Reports Management — The analysis, improvement, and control of administrative reporting.
- (2) Correspondence Management — The application of improved standards and procedures for the preparation and handling of correspondence.
- (3) Forms Management — The analysis, design, and control of forms.
- (4) Records Maintenance — The establishment of standard procedures, systems, equipment, and supplies for records maintenance.
- (5) Records Disposition — The economical and systematic disposition of Agency records including their preservation, retention, transfer, protection, and disposal according to approved schedules.
- (6) Vital Materials — The timely selection, transfer to, and maintenance in an Agency designated repository of record materials, documents, and files which are essential to the continued operation of CIA in an emergency and the destruction of which would constitute a serious or irreplaceable loss.

## 2. POLICIES

The Agency Records Management Program shall be administered on a decentralized basis through Major Component\* programs governed by the following policies:

\* Major Components are the Offices of the Deputy Director (Plans), Deputy Director (Intelligence), and Deputy Director (Support).

25X1A

RECORDS  
11 December 1956

- a. Records shall be made and preserved to provide adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the Agency. Such records shall be designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the Agency's activities.
- b. Measures shall be taken to insure that essential records are created and maintained by the most efficient and economical methods.
- c. Measures shall be taken to insure that nonessential records, reports, and forms are not created.
- d. Records essential to emergency operations of the Agency shall be promptly and currently deposited at a relocation site.
- e. The Agency Records Center shall be a facility for storing, processing, and servicing of semiactive or retired Agency records, and will serve as an Agency archival facility. The Records Center shall be compartmented and controlled in such a manner that the defense classification or sensitivity requirements of the operating components are honored.
- f. Records control schedules shall be developed to identify and preserve records of permanent value; to provide for the scheduled removal of noncurrent records from office space and filing equipment to more economical storage; and to provide for the scheduled destruction of records of temporary value.

### 3. RESPONSIBILITIES

#### a. CHIEF, RECORDS MANAGEMENT STAFF

The Chief, Records Management Staff, is responsible for:

- (1) Staff guidance, assistance, and coordination of the Agency Records Management Program by providing broad plans, policies, standards, and guides.
- (2) Providing forms analysis, design, and reference services and for approving new or revised forms and requests for reprints.
- (3) Reviewing and approving records control schedules and requests for equipment, services, and supplies to the extent necessary to assure compliance with Records Management Program requirements.
- (4) Providing technical guidance to the Records Center and Vital Materials Repository.
- (5) Maintaining Agency liaison with the National Archives and Records Service, General Services Administration, and other Federal and private organizations on records management matters.
- (6) Review of the component Records Management Programs.

#### b. DEPUTY DIRECTORS

The Deputy Directors are responsible for:

- (1) Establishing, directing, and maintaining CIA component Records Management Programs consisting of the elements referred to in paragraph 1c, and guided by the broad plans, policies, standards, and guides promulgated by the Records Management Staff.
- (2) Maintaining such liaison with other offices of the Agency as is required in the performance of component records management responsibilities.
- (3) Designating an individual who will be responsible for the development and administration of the respective component Records Management Programs.

FOR THE DIRECTOR OF CENTRAL INTELLIGENCE:

L. K. WHITE  
Deputy Director  
(Support)

DISTRIBUTION: AB



### WHY THE PROGRAM IS NEEDED

The Agency has a legal and moral obligation within limits of security provisions to comply with records management legislation. (General Counsel Opinion of 2 October 1950, Exhibit A).

An even stronger argument in favor of compliance is our need for records management. Of all the Federal agencies, CIA stands to gain most through records management.

- Our security measures and the nature of intelligence activities increase record volume and add to the cost of creating, handling, storing, and disposing of records.
  - ✓ Much of our business must be handled in writing rather than by phone. Dispersal of buildings increases this problem.
  - ✓ Requirements for clearances, controls, authorizations, approvals, coordination, etc. add to the record volume.
  - ✓ Dependency upon other agencies for overseas support multiplies paperwork.
  - ✓ Sterility requirements increase stationery costs.
  - ✓ Large record holdings were inherited from our predecessors.
  - ✓ A greater part of our records are vital for long periods of time.
  - ✓ Efficient reference systems are a must to provide information without delaying the intelligence process.
  - ✓ Our safe-type cabinets cost \$238--almost five times as much as the usual type used by most agencies.
  - ✓ We must maintain our own records center.
- A large and ever increasing volume of records is the result of our records creation and retention peculiarities. In fact, more records are being created and acquired, and held in costly office space, than are being retired or destroyed.

WHY THE PROGRAM IS NEEDED (CONTINUED)

- In FY 1953 we procured 2,878 correspondence file cabinets but only destroyed and retired records equivalent to 318 cabinets. In FY 1954 the ratio was 2,787 correspondence cabinets to 946 retired and destroyed.
- The volume of office records has risen steadily despite increasing records disposition activity. Slightly over 6,000 pieces of equipment were needed to file current records in 1950. Today almost 22,000 are required.
- Present filing equipment in Headquarters was procured at a cost of 2 1/3 million dollars. 9,697 correspondence cabinets are included in the inventory. Total Headquarters equipment for current records rests on floor space valued at 1/4 million dollars.

## WHAT IS BEING DONE ABOUT OUR RECORDS PROBLEM

We have established an Agency-wide Program covering records creation, records maintenance, and records disposition. The Program is administered on a decentralized basis by Area Records Officers serving the major components of the Agency. Overall Program direction and staff guidance is provided by the Records Management Division. (Exhibit B)

We have publicized records management through...

- An orientation program for Area Records Officers. (Exhibit C)
- Publication of the Handbook "Records Management Program Guide." (Exhibit D)

A new records center is under construction.

In Calendar Year 1954 the total savings were \$357,373 realized from activity in all aspects of records management as reported on the following sheets.

## FORMS MANAGEMENT

✓ Promoted forms management by distributing informational and promotional material. (Exhibits E and F)

✓ Improved Program administration and reduced operating costs.

- Revised standards for preprinting security classifications on blank forms to simplify printing, storage, issuing, and handling procedures.
- Revised the forms numbering system.
- Eliminated one functional file. Consolidated the material of two others to provide a complete vital materials file of forms.
- Published an Agency forms index.
- Redesigned the request form and improved procedures for submitting, reviewing, and approving requests for forms.
- ✓ ● Defined and promoted standards for printing, procuring, storing, issuing, and utilizing forms. The results...
  - ✓ Standard sterilization practices. ✓
  - ✓ Greater utilization of other Government forms. ✓
  - ✓ Direct distribution of new or revised forms to Building Supply Officers. ✓
  - ✓ Conservation of supplies of forms. ✓
  - ✓ 45% reduction in number of requests for reprints. ✓

Provided review, analysis, design and requisitioning services covering 301 new forms, 447 revisions, 481 reprints, and the elimination of 129 forms in calendar year 1954.

Reduced the average annual form usage from 18,698 copies per form in 1953 to 11,878 in 1954 for a total reduction of 576,172, despite a 53% increase in the number of active forms since January 1953.

Revised the format and improved the reporting procedure for Clandestine Services and Office of Operations information reports. Saved \$8,120 in printing costs and substantial but unevaluated savings in preparation and processing time.

## REPORTS MANAGEMENT

Developed and distributed the promotional pamphlet, "An Introduction to Reports Management." (Exhibit G)

Produced the following general guides for installing and operating area reports management programs...

- Sample Office Notice Inaugurating a Reports Management Program (Exhibit H).
- Sample Office Regulation for Operating a Reports Management Program (Exhibit I).
- "Analyzing Requirements for Administrative and Management Reports" (Exhibit J).

Provided the Logistics Office and the Office of the Comptroller with specific program guides.

## CORRESPONDENCE MANAGEMENT

Established a one-time preassembled carbon and tissue set (Letterex) as a standard stock item and promoted its use throughout Headquarters (Exhibit K). Over two million sets were used in nine months effecting material and labor savings of \$9,017.

Launched work on a correspondex of administrative requests and reports for the use of Headquarters administrative personnel. Over a hundred cases (reporting requirements, requests pertaining to security or personnel matters, etc.) have been described and indexed. Where necessary, sample memorandums, reports, and pattern paragraphs are being keyed to the index.

Completed first draft of a glossary of 300 administrative terms to be issued as an Agency handbook.

Developed the proposed Handbook Correspondence Style and Procedures which will...

- Promote labor saving practices not presently described in Agency guides.
- Provide a more usable training and desk reference.
- Result in faster training and increased production by eliminating present confusion over formats and styles.

Developed the introductory pamphlet "Correspondence Management." (Exhibit L)

Launched a program to provide guides to improve the writing ability of Agency personnel. Distribution of the following pamphlets is being coordinated with the Office of Training...

- "What is Readability," an evaluation of an article from Readers Digest to show the qualities of readable and interesting writing.
- "Modern Writing Styles," a small glossary of hackneyed expressions common to Agency correspondence, with suggested substitutes.

Analyzed Office of Personnel entrance on duty pattern letters and recommended improvements to nine types. Standards applied to these are now being used by the Office of Personnel to improve 100 other similar types. Recommendations resulted in an average reduction of 20% in letter content and in improved public relations.

## RECORDS SYSTEMS

Developed and coordinated a handbook to provide a standard system for classifying and filing correspondence records. The system has been installed in ten offices. Benefits from this uniform system...

- Centralized training of file personnel.
- Transfer of personnel without training.
- Faster and more complete reference services.
- Cut-off dates for retirement of records.

Established equipment and supply standards for filing correspondence records. (Exhibits M and N) The results...

- Reduced from 54 to 6 the number of types of folders stocked.
  - ✓ Official personnel folders costing only 6¢ are now serving as well as those which formerly cost 75¢.
  - ✓ Reduced the average cost of other folders from 7.5¢ to 4.2¢ saving \$11,210 in 1954.
  - ✓ Saved \$6.20 in safe cabinet filing space for every 100 standard folders used instead of pressboard folders.
- Reduced the types of correspondence cabinets stocked from 17 to 6.
- Recommended the use of five drawer instead of four drawer cabinets saving \$7,500 in space and equipment.
- Saved \$1,896 by reviewing purchase orders and recommending use of standard equipment.

Promoted the use of portable desk trays for overnight storage of working papers. (Exhibit O) Procurement of 1,400 trays is now in process. Estimated saving in safe space is \$24,500.

S E C R E T  
MICROFILM PROGRAM

Reviewed 16 projects and established a complete inventory of equipment resulting in substitutions of more suitable equipment and utilization of idle equipment for a saving of \$3,358. Survey of equipment is continuing.

Reviewed 32 requisitions for microfilm equipment and supplies for total savings of \$5,692.

Conducted a comparative operational test of two new cameras. Results will be helpful in assigning cameras for field use.



### VITAL MATERIALS PROGRAM

Established or revised ten Office vital materials schedules, assuring timely and complete deposits. Adequacy and current condition of the program are reflected by deposits during calendar year 1954 as follows...

- Documents - 135 cubic feet or approximately 237,000 sheets of paper.
- Tabulating Cards - 2,497,954
- Film - 2,994 reels representing approximately 6,257,000 sheets of paper.

Revised the inventory and accounting system for control of vital materials to provide...

- More positive and faster means of accounting for deposits and withdrawals.
- Reduction in the number of inventory pages.
- Elimination of hand stamping of security classifications.
- Reduction in size of the inventory form for more convenient filing.

S-E-C-R-E-T

### MAIL CONTROL SYSTEM

An intra office mail control system has been developed and installed in one major office. The system...

- Expedites tracing and locating correspondence in process.
- Provides a follow up on unanswered correspondence.
- Serves as a log and record of actions taken.
- Serves as a finding media for filed correspondence.

S-E-C-R-E-T

### RECORDS DISPOSITION

Conducted surveys in 12 Offices which resulted in...

- Reductions in requirements for office space, filing equipment, and file personnel through the continuing transfer of inactive records to the Records Center.
- Disposition plans covering 19,007 cubic feet of records equivalent to 2,375 file cabinets.

Arranged for the transfer of 576 cubic feet of records from two agencies to CIA. These records were needed for operational reference and research purposes.

### RECORDS CENTER OPERATIONS

Received, maintained, serviced and destroyed inactive Agency records with benefits as follows:

- Received 7,491 cubic feet of records, equivalent to 936 safe cabinets valued at \$222,500 and 7,100 square feet of office space valued at \$17,750.
- Disposed of 1,457 cubic feet of records, equivalent to 182 safe cabinets valued at \$43,316.
- Serviced requests for 89,292 records.

As of 31 December 1954, 17,151 cubic feet of inactive records, equivalent to 2,144 safe type cabinets valued at \$510,272, were stored in the Records Center.

Evidenced the need and promoted the construction of a new records center scheduled for occupancy in February 1955.

S-E-C-R-E-T

### WHAT'S LEFT TO BE DONE

We still have much to do in Headquarters and in the Field.

Bootleg forms, inefficient in design and use and reproduced expensively, outnumber controlled forms by approximately 20 to 1. Based upon 1954 experience in controlling 1521 forms, an estimated saving of two million dollars can be realized by bringing all forms under control.

Controls to eliminate and prevent nonessential administrative reporting have not been established. Techniques for improving reporting systems and the content of reports have not been used to the fullest extent.

The possibility of cutting costs through substitutes for dictated correspondence, indexes to repetitive-type correspondence, eliminating nonessential copies, and improving the writing ability of Agency personnel has only been partially explored.

Simplified mail control systems are needed.

Headquarters-wide adoption of the subject-numeric system and other filing standards is yet to be accomplished.

Only an estimated 40% of the Agency's records are covered by records control schedules. Accordingly, many of our inactive records are yet to be scheduled for removal from high cost office equipment and space to economical Records Center storage. Disposition experience in 16 components reveals that from 9% to 90% of records retained can be considered temporary. The overall average is about 54%.

To sum up, there is still much to be done in all areas of records management, to improve our records and to balance records creation and acquisition with records retirement and destruction.

S-E-C-R-E-T

S-E-C-R-E-T

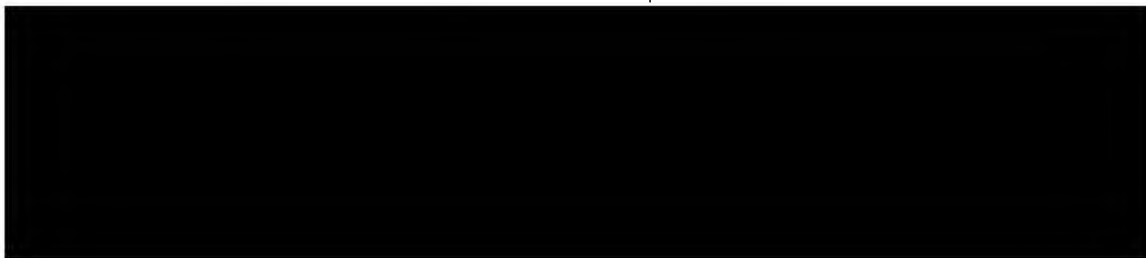
AGENCY GENERAL COUNSEL OPINION

2 OCTOBER 1950

COMPLIANCE WITH PROVISIONS OF LAW PERTAINING TO  
FEDERAL RECORDS

- "1. THE CENTRAL INTELLIGENCE AGENCY MUST COMPLY WITH THE RECORDS DISPOSAL ACT, INsofar AS IT DOES NOT CONFLICT WITH THE PROVISIONS OF PUBLIC LAW 253.
2. THE CENTRAL INTELLIGENCE AGENCY SHOULD COMPLY WITH PUBLIC LAWS 152 AND 754 WHENEVER POSSIBLE, EVEN THOUGH EACH SPECIFICALLY EXEMPTS CIA FROM ITS PROVISIONS. HOWEVER, IF SUCH COMPLIANCE WOULD RESULT IN THE UNAUTHORIZED DISCLOSURE OF INTELLIGENCE SOURCES AND METHODS, PUBLIC LAW 253 MUST BE FOLLOWED.
3. THE CENTRAL INTELLIGENCE AGENCY SHOULD COMPLY WITH EXECUTIVE ORDER 9784 WHENEVER POSSIBLE, ALTHOUGH IT DOES NOT REQUIRE DISCLOSURE OF CONFIDENTIAL INFORMATION WHICH WOULD ENDANGER THE NATIONAL INTEREST OR LIVES OF INDIVIDUALS. CONSEQUENTLY, NO RELIANCE UPON PUBLIC LAW 253 SEEMS NECESSARY.

STATOTHR

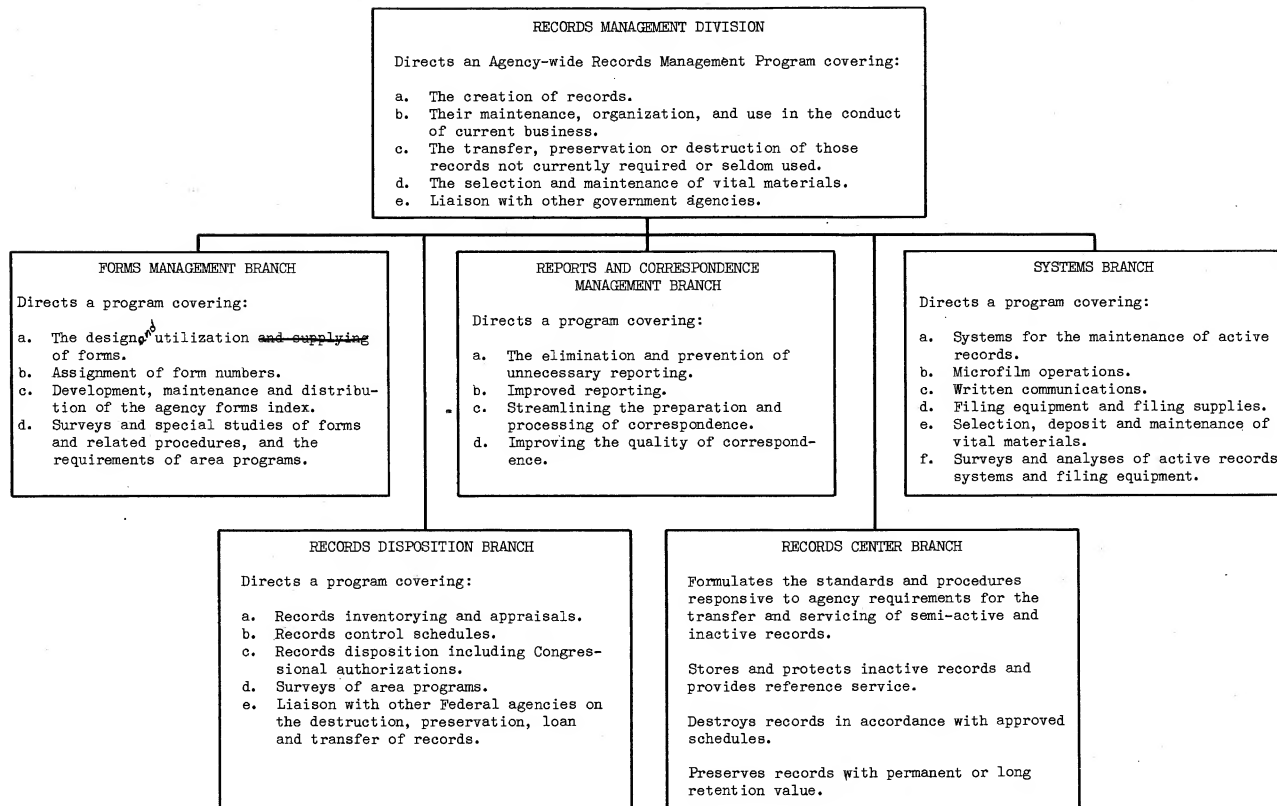


S-E-C-R-E-T

*Exhibit A*

SECRET

MANAGEMENT STAFF  
RECORDS MANAGEMENT DIVISION  
September 1954



SECRET

Approved For Release 2001/11/16 : CIA-RDP78-00433A000100150006-0



Approved For Release 2001/11/16 : CIA-RDP78-00433A000100150006-0

*Exhibit C*



Approved For Release 2001/11/16 : CIA-RDP78-00433A000100150006-0

CONFIDENTIAL  
SECURITY INFORMATION

# TRAINING PROGRAM IN RECORDS MANAGEMENT

*Sponsored Jointly By:* GENERAL SERVICES OFFICE  
OFFICE OF TRAINING

ROOM 1402 BUILDING I

CONFIDENTIAL

Approved For Release 2001/11/16 : CIA-RDP78-00433A000100150006-0

CONFIDENTIAL  
SECURITY INFORMATION

**A G E N D A**

**14 April — 11 May 1953**

*Chairman* — [REDACTED]  
*Office of Training*

25X1A

**Tuesday, 14 April**

- |      |                                     |   |                |
|------|-------------------------------------|---|----------------|
| 0930 | INTRODUCTORY REMARKS                | [REDACTED] <i>Chief</i><br><i>Record Services Division</i><br>[REDACTED] <i>Chief</i><br><i>Management Training Division</i><br><i>Office of Training</i> | 25X1A<br>25X1A |
| 1000 | RECORDS MANAGEMENT IN<br>INDUSTRY   | EMMET J. LEAHY, <i>President</i><br><i>National Records Management</i><br><i>Council</i>  |                |
| 1100 | RECORDS MANAGEMENT IN<br>GOVERNMENT | HERBERT E. ANGEL, <i>Director</i><br><i>Records Management Division</i><br><i>National Archives and Records</i><br><i>Services, GSA</i>                   |                |

**Monday, 20 April**

- |      |  |  |  |
|------|--|--|--|
| 1000 | THE PLACE OF RECORDS<br>CENTERS IN A RECORDS<br>MANAGEMENT PROGRAM | EVERETT O. ALLDREDGE, <i>Chief</i><br><i>Records Center Branch, Records</i><br><i>Management Division, GSA</i> |  |
|------|--|--|--|

CONFIDENTIAL

CONFIDENTIAL  
SECURITY INFORMATION

Monday, 20 April

1100	DISPOSITION OF FEDERAL RECORDS	ARTHUR E. YOUNG, <i>Deputy Regional Director for Records Management Service, Region 3, GSA</i>
------	-----------------------------------	--

Friday, 24 April

1000	HOW TO MAKE A RECORDS SURVEY	DOROTHY M. LUTTRELL, <i>Chief Records Administration Branch Administrative Services Division Office of Price Stabilization</i>
------	---------------------------------	--

1100	CORRESPONDENCE MANAGEMENT	MONA SHEPPARD, <i>Organization and Methods Examiner, Records Management Division, GSA</i>
------	------------------------------	---

1150	STATUS OF AGENCY CORRESPONDENCE MANAGEMENT PROGRAM	[REDACTED] <i>Chief Record Services Division</i>
------	--	--

25X1A

Monday, 27 April

1000	FORMS AND PUBLICATION MANAGEMENT	[REDACTED] <i>Chief Printing Advisory Staff</i>
------	-------------------------------------	---

25X1A

1100	PRINTING AND REPRODUC- TION IN THE AGENCY	[REDACTED] <i>Assistant Chief Printing and Reproduction Division</i>
------	--	--

25X1A

CONFIDENTIAL

**CONFIDENTIAL**  
SECURITY INFORMATION

**Friday, 1 May**

1000	SYSTEMS FOR THE CONTROL OF CORRESPONDENCE AND RECORDS	[REDACTED] <i>Records Analyst</i>	25X1A
1100	THE APPLICATION OF PUNCH CARD METHODS TO RECORDS MANAGEMENT PROBLEMS	[REDACTED] <i>Chief Machine Records Branch</i>	25X1A

**Monday, 4 May**

1000	PROCEDURE FOR DEPOSITING VITAL MATERIALS	[REDACTED] <i>Records Analyst</i>	25X1A
1030	OPERATION OF THE VITAL MATERIALS REPOSITORY	[REDACTED] <i>Services Officer</i>	25X1A
1100	RECORDS DISPOSAL, RETIREMENT AND PRESERVATION	[REDACTED] <i>Chief Records Management and Distribution Branch</i>	25X1A

**Friday, 8 May**

1000	STANDARDS FOR MICROFILMING	[REDACTED] <i>Records Analyst</i>	25X1A
1030	OPERATION OF AN AGENCY RECORDS CENTER	[REDACTED] <i>Records Analyst</i>	25X1A

**CONFIDENTIAL**

CONFIDENTIAL  
SECURITY INFORMATION

Friday, 8 May

1100	REPORTS MANAGEMENT	[REDACTED]	<i>Records Analyst</i>	25X1A
1130	THE IMPORTANCE OF A RECORDS PROGRAM AS A TOOL OF MANAGEMENT	[REDACTED]	<i>Chief Organization and Methods Service</i>	25X1A

Monday, 11 May

1000	THE TASK OF AREA RECORDS OFFICERS	[REDACTED]	<i>Chief Record Services Division</i>	25X1A
1030	INSTALLING YOUR RECORDS MANAGEMENT PROGRAM	[REDACTED]	<i>Assistant Chief Records Management and Distribution Branch</i>	25X1A
1100	GROUP DISCUSSION	[REDACTED]		25X1A
1145	SUMMARY	[REDACTED]		25X1A
1150	CLOSING REMARKS	[REDACTED]	<i>Chief General Services Office of Training</i>	25X1A 25X1A

CONFIDENTIAL

25X1A

Approved For Release 2001/11/16 : CIA-RDP78-00433A000100150006-0

**Next 1 Page(s) In Document Exempt**

Approved For Release 2001/11/16 : CIA-RDP78-00433A000100150006-0

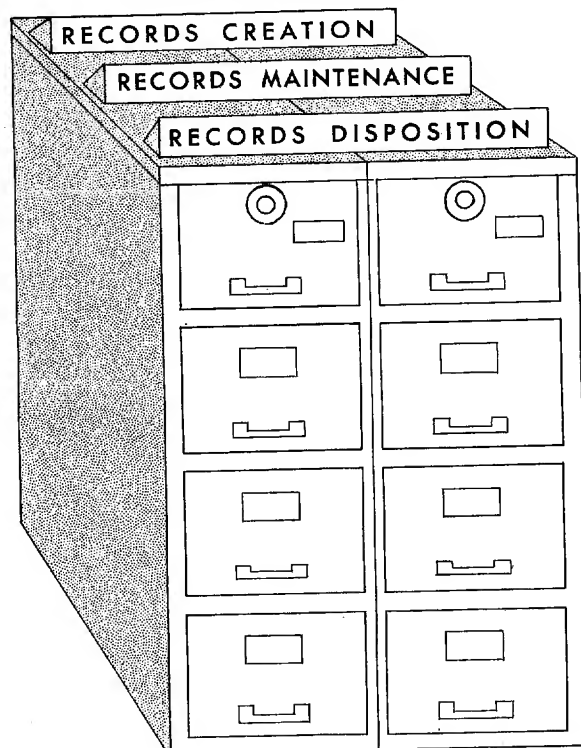
Approved For Release 2001/11/16 : CIA-RDP78-00433A000100150006-0

Approved For Release 2001/11/16 : CIA-RDP78-00433A000100150006-0

*Exhibit D*

THE CENTRAL INTELLIGENCE AGENCY  
RECORDS MANAGEMENT PROGRAM GUIDE

A BRIEF ON THE FUNCTIONAL  
AREAS OF RECORDS MANAGEMENT



GENERAL SERVICES OFFICE  
RECORDS MANAGEMENT & DISTRIBUTION BRANCH

SEPTEMBER 1953



Approved For Release 2001/11/16 : CIA-RDP78-00433A000100150006-0  
RESTRICTED

#### FOREWORD

This pamphlet has been prepared in response to requests for a concise outline of the scope of the Agency Records Management Program. It is not intended that it serve as an operating handbook, but instead, is designed to provide information for the use of Area Records Officers in presenting the Program to operating officials and other area personnel. Accordingly, program objectives and the methods to accomplish them have been stated in broad terms.

The Guide is written functionally; therefore phases of the Program are not necessarily outlined in the order in which they will be undertaken. However, the Guide will familiarize Agency personnel with the areas to be covered and will provide the Area Records Officers with a basis for scheduling the various steps of the Program.

DISTRIBUTION: A PLUS SPECIAL

CONTENTS

	<u>PAGE</u>
I. An Introduction to Records Management . .	1
II. Definitions . . . . .	2
III. Creation of Records	
Reports Management . . . . .	3
Forms Management . . . . .	4
Correspondence Management . . . . .	5
IV. Organization, Maintenance and Use of Records	
Mail Control . . . . .	6
Reference Service . . . . .	7
Maintenance Management . . . . .	8
Equipment and Supplies Standards . . . . .	9
V. Disposition of Records . . . . .	10
VI. Vital Materials Program . . . . .	11

SECTION I

AN INTRODUCTION TO RECORDS MANAGEMENT

Records are defined by statute, and Federal agencies are required by law to establish and maintain an active and continuing Records Management Program. Authority to destroy records is obtained from the Congress through the National Archives and Records Service in accordance with its prescribed standards and procedures. In CIA, this authority is obtained by the Records Management and Distribution Branch, General Services Office.

Records Management is a specialized field of work and deals with problems and practices relating to the creation, maintenance, organization, and use of records in the conduct of current business, and in the preservation, elimination, transfer or other disposition of those records which are not currently required or are seldom used. Although the need for adequate management over the accumulation of records exists from the time they are created or received until their final disposition, it is recognized that it is not possible to have such management absolutely alike in all areas because of the differences in organizational structure and substantive functions.

The essential guides and sources of detailed information for implementing the Agency Records Management Program will be published in Agency Regulations, Notices and Handbooks developed in cooperation with operating and staff officials.

There are presented in the following sections definitions and a general outline providing the reader with an over-all picture of the functional areas of records management. These areas are: Creation of Records; Organization, Maintenance

and Use of Records; Disposition of Records; and the Vital Materials Program.

## SECTION II

### DEFINITIONS

For purposes of this guide, the following definitions apply:

Records include all books, papers, maps, photographs, films, recordings or other documentary material, regardless of physical form or characteristic, made or received by any portion of the Agency in pursuance of Federal law or in connection with the transaction of public business and preserved, or appropriate for preservation, by the Agency or its legitimate successor as evidence of the organization, functions, policies, personnel, decisions, procedures, financial or legal transactions, operations, or other activities, or because of the informational value of data contained therein.

Non-record material includes library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications or processed documents.

Forms are printed or reproduced documents with blank spaces provided for inserting specific information. Form letters are printed or reproduced letters to furnish information for repeated mailings or one mailing to numerous destinations. Form letters with or without blank spaces, except for actual intelligence information produced therein, are considered forms.

Reports are all requirements for written data, one time or recurring, established to provide administrative or management control of operations.

Correspondence includes all memoranda, letters, and dispatches sent to or received by a person in the Agency in the execution of his official duties.

### SECTION III

#### CREATION OF RECORDS

#### REPORTS MANAGEMENT

##### Objectives

1. Eliminate and prevent unnecessary or duplicate reporting.
2. Insure that instructions, forms, and procedures for necessary reports are clear and complete to provide simple and direct reporting methods.
3. Insure that required reports provide adequate data and that realistic reporting intervals are established.
4. Provide a central reference point for information on reports.

##### Method of Accomplishment

1. Conduct an initial reports inventory and establish reference and analysis files.
2. Establish controls for the clearance through the Area Records Officer of all proposed reporting requirements.
3. Review and analyze all new reporting requirements placed by the office upon other CIA elements and other Government agencies.

4. Analyze all reports prepared by the office to insure that reports are prepared in the most efficient manner, and to develop recommendations for submission to requiring offices or agencies.
5. In view of changes in organization and requirements, conduct periodic surveys to insure the necessity for each existing report and the adequacy of Reports Management records.

#### FORMS MANAGEMENT

##### Objectives

1. Insure the need for each existing form and each proposed form.
2. Reduce the number of forms by consolidating those serving like functions, eliminating obsolete or ineffective forms, and using standard Government forms when appropriate.
3. Simplify, standardize, and improve essential forms according to Agency standards.
4. Insure that forms are reproduced, stocked, and distributed as economically as possible.
5. Insure that procedures for use with specific forms (or groups of forms) provide for maximum efficiency and utilization of personnel.
6. Provide a central reference point for information on forms.

##### Method of Accomplishment

1. Conduct an initial forms inventory and establish reference and analysis files.

RESTRICTED

2. Establish controls for the clearance through the Area Records Officer of all proposed new and revised forms.
3. Review and analyze all requirements for forms and the procedures related to their use.
4. In view of changes in organization and requirements, conduct periodic surveys to insure the necessity for each existing form and the adequacy of Forms Management records.

CORRESPONDENCE MANAGEMENT

Objectives

1. Simplify and speed up the preparation and handling of correspondence.
2. Improve the quality of correspondence and adequacy of documentation.
3. Enable faster training and increased utilization of personnel.
4. Create better public relations.

Method of Accomplishment

1. Conduct surveys to determine the types and volume of correspondence prepared.
2. Provide measures for the continuous review of correspondence practices.
3. Develop and maintain uniform correspondence procedural and style policies and practices.

4. Develop and employ the use of pattern paragraphs, letter guides, and form letters.
5. Develop and maintain quality standards for improving letter content and letter writing aptitudes.
6. Review copy requirements to prevent the preparation of nonessential copies of communications.

#### SECTION IV

#### ORGANIZATION, MAINTENANCE AND USE OF RECORDS

#### MAIL CONTROL

##### Objectives

1. Provide for the prompt and systematic flow of correspondence from originators to action or information addressees.
2. Insure that action is accomplished within established time limits.
3. Provide receipt control for the exchange of classified matter, negotiable instruments, etc.

##### Method of Accomplishment

1. Conduct surveys to determine the types and volume of correspondence handled, production rates of machines and personnel, and the process steps affecting the flow of work.
2. Develop recommendations regarding the functional organization and staffing of the office, correspondence



processing steps and techniques, forms, and the utilization of labor saving equipment.

3. Install the revised system, train area personnel in its use, and conduct periodic follow-up to insure adequacy of the system.

#### REFERENCE SERVICE

##### Objectives

1. Locate file stations realistically and insure that the contents of files are adequate for the reference services required.

##### Method of Accomplishment

1. To determine the best locations for file stations, consider: The degree to which administrative responsibility or control is delegated; the possible elimination of duplicate files; the quality of filing standards desired; the accessibility of files to users; any restrictions on the use of classified material; and the flow of material to the files.
2. To provide adequate reference service, determine: The volume and kinds of papers filed; manner in which requests for file material are made; impact of work flow on files; trends indicative of future reference requirements; and the adequacy of personnel, supplies, forms, and equipment.
3. Develop recommendations, install the revised system, train area personnel in its use, and conduct periodic follow-up to insure its adequacy.

## MAINTENANCE MANAGEMENT

### Objectives

1. Develop a classification plan for the standardized filing of both general administrative material and records dealing with the operational activities of the office.
2. Develop filing standards for the orderly maintenance and preservation of current records.
3. Provide auxiliary records or indexes (filing media) to facilitate reference to primary records.
4. Develop specialized systems for records pertaining to the operational activities of the office.

### Method of Accomplishment

1. To develop a classification plan:
  - a. Analyze the content of records to determine definitive subject categories (primary, secondary, tertiary, etc.).
  - b. Apply the Subject-Numeric System of the Agency Filing Manual to general administrative records, and develop such special systems necessary for filing records of operational activities, of the office.
2. To develop filing standards:
  - a. Determine what material on specific transactions or subjects are to be kept together, the arrangement of folders, and the methods of labeling folders, guides, and file drawers.

RESTRICTED

- b. Install revised system, prepare written instructions, arrange for equipment and supplies, train area personnel, and conduct periodic follow-up to determine adequacy of system.
3. To provide adequate finding media:
  - a. Consider volume and complexity of records and the organizational structure of area served to determine type of index or guide needed.
  - b. Develop necessary forms and written instructions to implement the system, and procure equipment for its installation.
4. Analyze operational records to determine the extent that machine methods and other specialized forms of record keeping can be employed.

EQUIPMENT AND SUPPLIES STANDARDS

Objectives

1. Effect standardization of filing equipment and filing supplies.

Method of Accomplishment

1. Conduct surveys, provide guides, and establish control measures to insure that filing equipment and supplies conform to prescribed Agency standards.

SECTION V

DISPOSITION OF RECORDS

Objectives

1. Provide for the economical and systematic disposition of Agency records including their preservation, retention, transfer, and disposal according to Federal statutes and regulations.
2. Release high cost office space and filing equipment no longer needed in the daily routine of business.

Method of Accomplishment

1. Prior to conducting a records disposition survey, obtain background information regarding the organizational structure of offices to be surveyed, their functions and missions, and the flow of work within and between offices concerned.
2. Plan the disposition survey, taking into consideration the availability of personnel, and the size and complexity of the organization. Determine in advance the basic records unit to be inventoried (i.e., whether each separate form, or a group of records serving the same purpose, will be reviewed), and specify the criteria to be used for describing each unit of record. Consider also the possibility of obtaining information of value for records management functions other than records disposition.
3. Conduct the inventory and record all pertinent information which will be needed to determine retention periods and the disposition of records.

4. Evaluate records in terms of their immediate usefulness to the Agency for administrative, legal, fiscal, and other operating purposes. Clear recommendations with operating officials.
5. Develop records control schedules in the form of directives to provide for the disposition of record and non-record material by either permanent preservation, microfilming, destruction, or transfer to less expensive records storage in the CIA Records Center. Obtain approval of schedules from operating officials and the CIA Records Officer.
6. Maintain records control schedules up to date in view of changes in organization and requirements.
7. Conduct periodic follow-up to insure that records control schedules are adequate and that the disposition of records is being effected in accordance with schedules.

## SECTION VI

### VITAL MATERIALS PROGRAM

#### Objectives

1. Provide for the secure transfer, storage, and ultimate disposition of materials essential to the Agency on a continuing basis and which in the event of destruction would constitute an irreplaceable loss.

#### Method of Accomplishment

1. In collaboration with the CIA Vital Materials Officer and operating officials:
  - a. Identify vital materials and determine their disposition.

Approved For Release 2001/11/16 : CIA-RDP78-00433A000100150006-0  
RESTRICTED

- b. Develop schedules for deposit and disposition.
- c. Initiate the transfer of vital materials to the repository.

Approved For Release 2001/11/16 : CIA-RDP78-00433A000100150006-0

RESTRICTED

Approved For Release 2001/11/16 : CIA-RDP78-00433A000100150006-0

Approved For Release 2001/11/16 : CIA-RDP78-00433A000100150006-0

**forms management**

**program**



central intelligence agency

Approved For Release 2001/11/16 : CIA-RDP78-00433A000100150006-0



Approved For Release 2001/11/16 : CIA-RDP78-00433A000100150006-0

**forms management**

**program**



central intelligence agency

Approved For Release 2001/11/16 : CIA-RDP78-00433A000100150006-0



- actions in the government are controlled by **forms . . .**

- forms **guide** action but **do not perform** the action.

**from birth . . .  
to death**



**Central Intelligence Agency  
Forms Management Program**

**management staff  
records management division  
forms management branch**

**headquarters**

**area records officers**

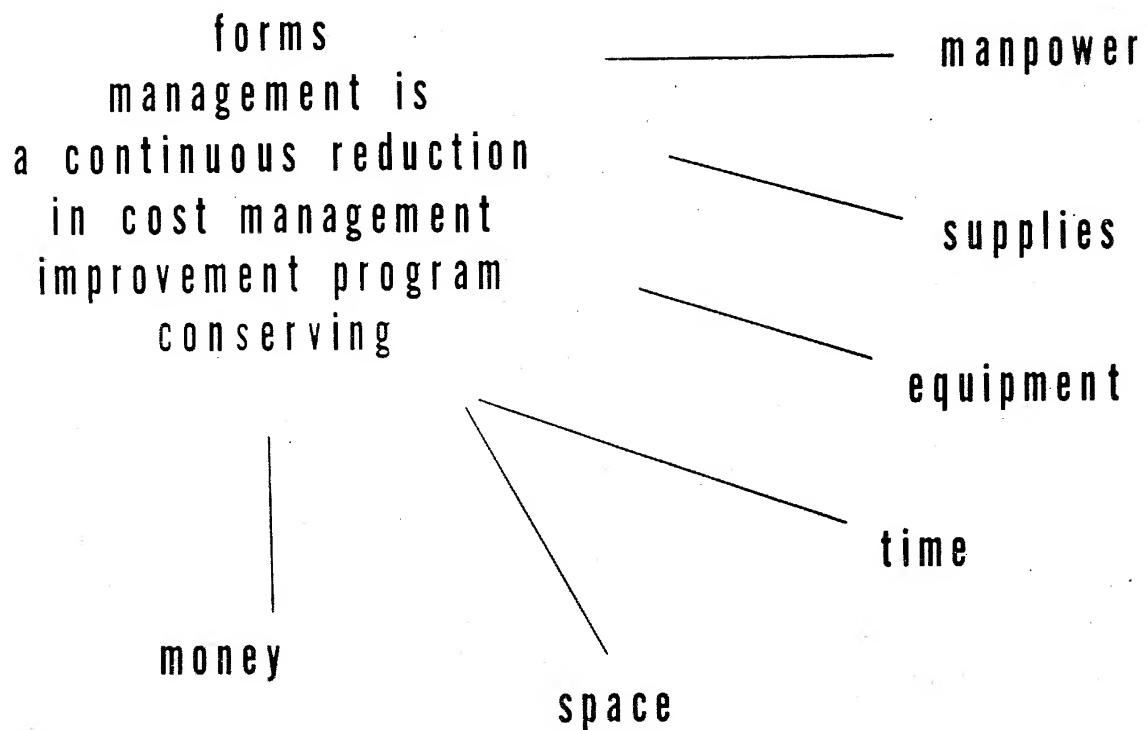
**field activities**

**area records officers**

**the objective . . . . more efficient  
operations at less cost.**



# what is forms management ?



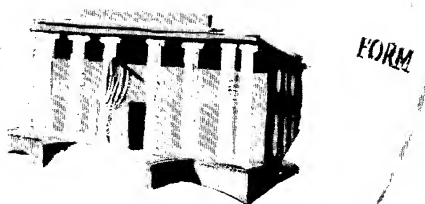
# resources are conserved by . . .



**1** eliminating non-essential forms



**2** consolidating forms that perform the same function



**3** using forms prescribed by a higher headquarters



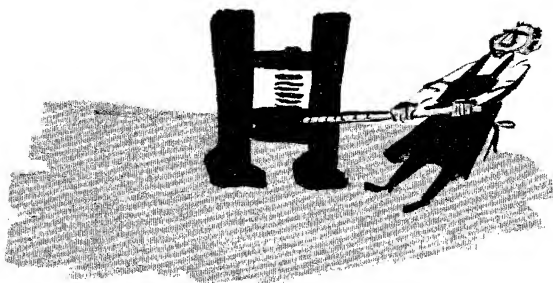
**4** informing users of available forms



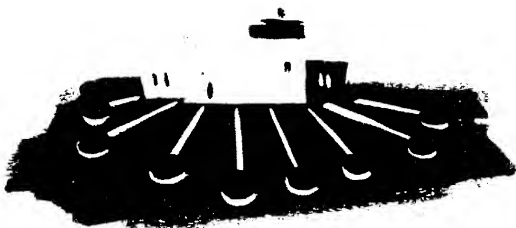
**5** integrating forms, procedures and directives



**6** simplifying and standardizing size and design



**7** eliminating wasteful printing and duplicating methods



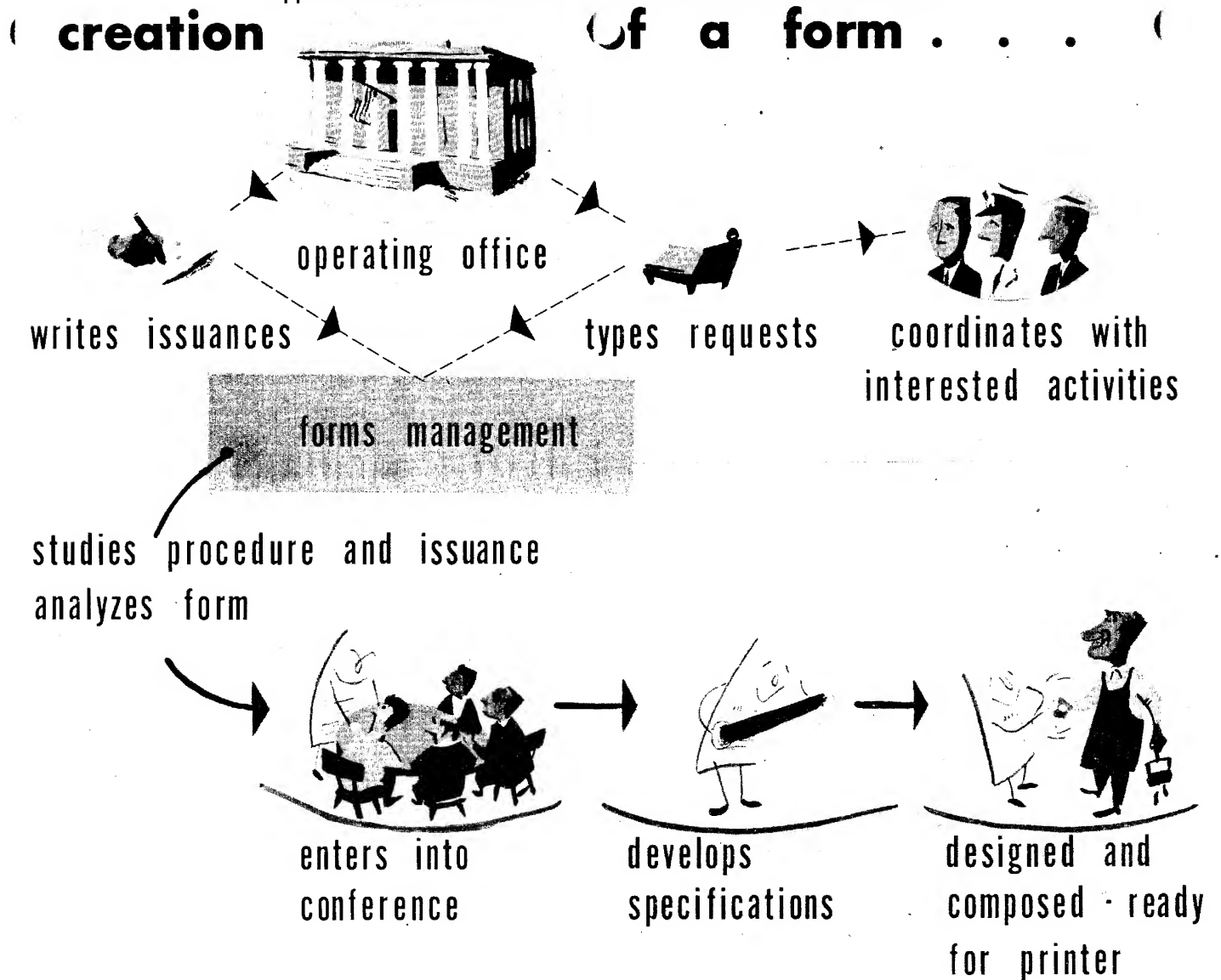
**8** centralizing procurement storage and distribution

**9** being vigilant - reviewing all forms used to identify and solve functional and organizational problems

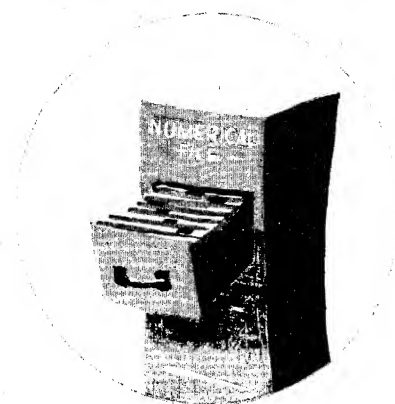
**10** by reporting to top management unsatisfactory conditions

- suggest improvements
- recommend forms for wider application



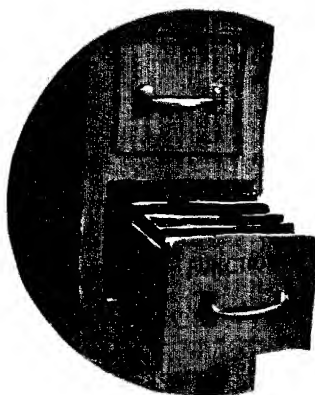


## forms management tools



numerical file

initial request and justification  
revisions and reprints  
correspondence  
reference to issuance  
copy of form



functional file

- bring together similar forms
- used in many activities
- point up duplicate and overlapping forms
- aid in consolidation and elimination
- prevent establishment of unnecessary new forms

**a forms problem...**



this could  
be eliminated  
by . . .

**the  
forms  
management  
way**



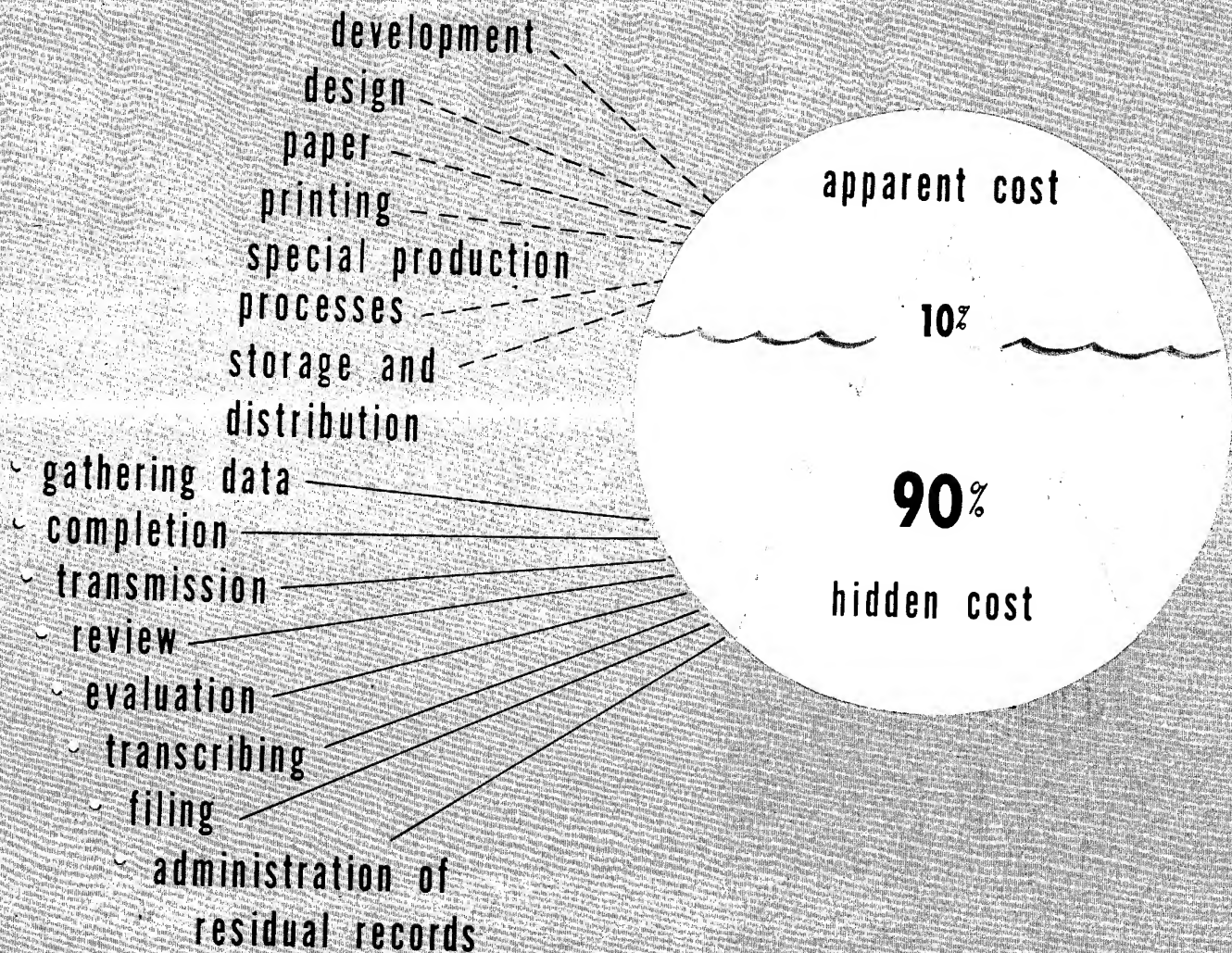
a form to fit the need

**after  
forms  
analysis**

CASUALTY

Save time in your preparation  
 routing  
 processing  
 filing  
 finding  
 sectional analysis

## elements of a form in cost...



ORME THE FORM  
SAYS  
**DON'T  
HOARD  
FORMS**



ORME THE FORM  
SAYS  
**DON'T WASTE  
FORMS**

DON'T USE FORMS FOR  
PHONE NUMBERS OR NOTES,  
CORRESPONDENCE DRAFTS,  
OR COMPUTATIONS



**USE NOTE PADS**

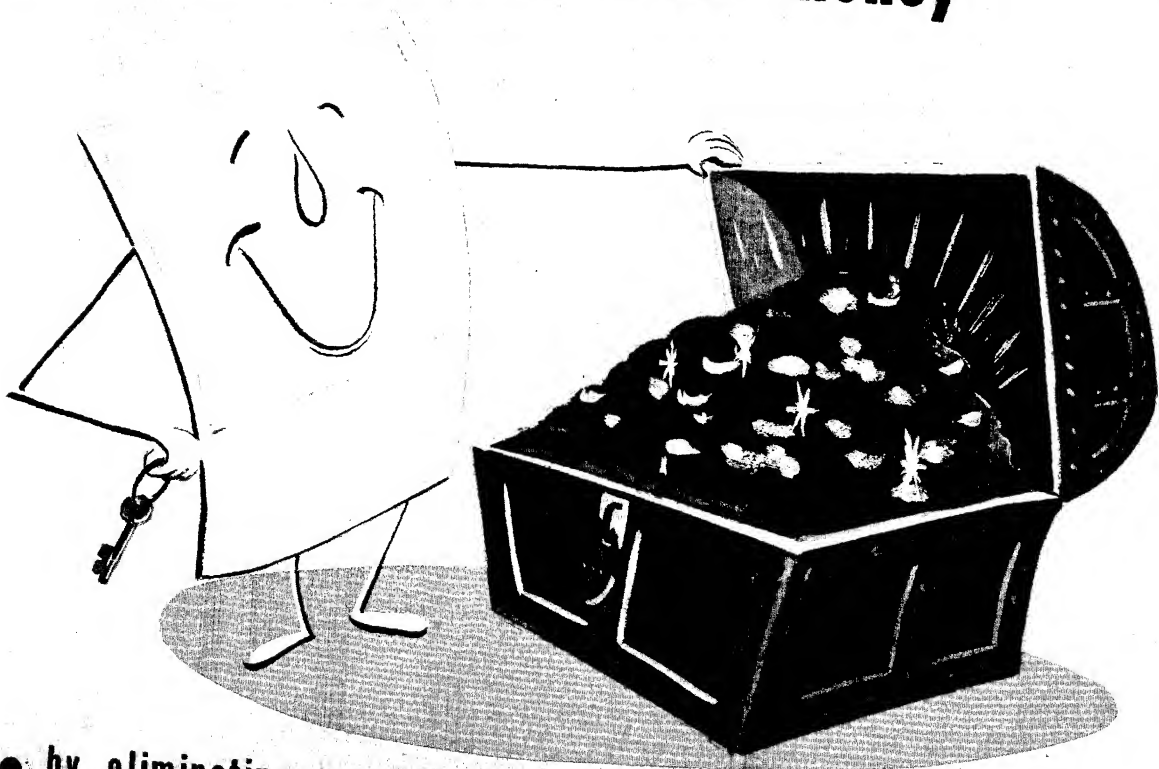
ORME THE FORM  
SAYS  
**MAKE ONLY AS  
MANY COPIES  
AS NEEDED**



**DON'T MAKE EXTRAS "JUST IN CASE"!**



## **forms management saves money**



- by eliminating non-essentials
- by 'procedurizing', simplifying, and standardizing essential forms
- by detecting the need to treat the procedures themselves

# FORME THE FORM SAYS DON'T WASTE FORMS

DON'T USE FORMS  
FOR DRAFTS, NOTES,  
OR COMPUTATIONS,  
PHONE NUMBERS OR  
CORRESPONDENCE



USE NOTE PADS

ILLEGIB

*an introduction to...*

## **REPORTS MANAGEMENT**



WHAT IS REPORTS MANAGEMENT?

WHY IS IT NEEDED?

HOW IS IT ADMINISTERED AGENCY  
WIDE?

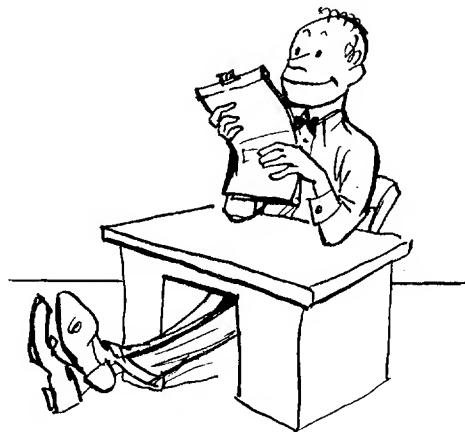
HOW IS AN AREA PROGRAM  
INSTALLED AND CONTINUED?

MANAGEMENT STAFF  
RECORDS MANAGEMENT DIVISION

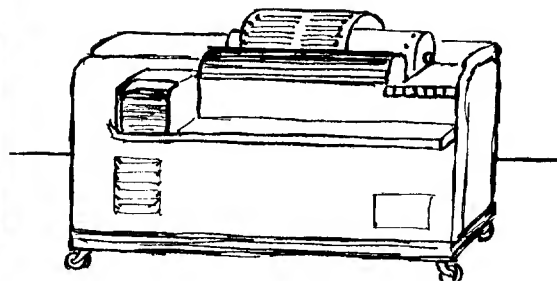
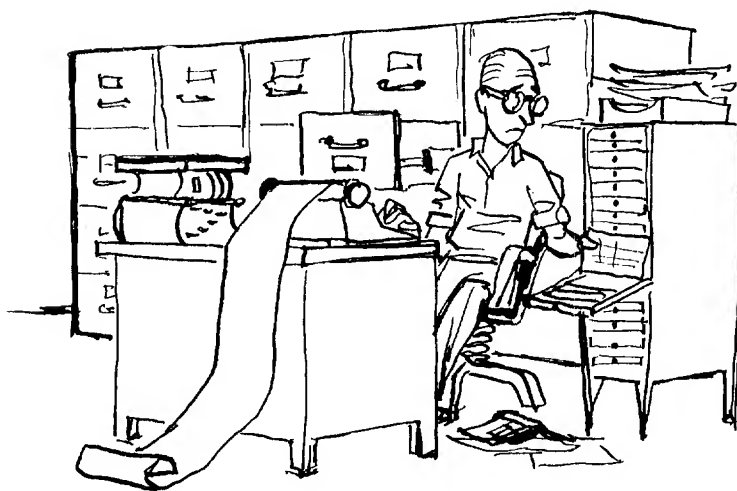
ILLEGIB

IT IS A CONTINUING PROGRAM OF PLANNED REPORTS ANALYSIS DESIGNED TO...

- IMPROVE THE QUALITY OF REPORTS and
- ELIMINATE THOSE NOT NEEDED.



- ASSURE THAT REPORTS ARE PREPARED BY THE SIMPLEST AND LEAST EXPENSIVE MEANS.

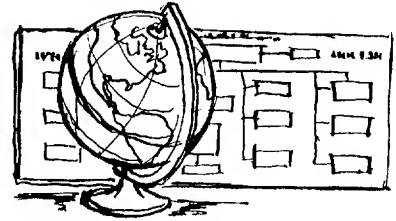


REPORTS MANAGEMENT RESULTS IN...

- FEWER REPORTS, BETTER REPORTS, AT LESS COST!

LET'S FACE IT! AN AGENCY-WIDE NETWORK OF REPORTING SYSTEMS IS NECESSARY. OUR ORGANIZATION IS COMPLEX. OUR OPERATIONS ARE WORLD WIDE. WE MUST DEPEND ON REPORTS FOR CONTROL OVER THESE OPERATIONS.

BUT WITHIN SUCH A FRAMEWORK, SOME UNNECESSARY AND INADEQUATE REPORTING IS BOUND TO EXIST. SEEKING OUT AND CORRECTING THIS CONDITION, AND PREVENTING ITS RECURRENCE, CALLS FOR A COORDINATED AGENCY-WIDE PROGRAM OF REPORTS ANALYSIS.



#### HOW WILL THE AGENCY PROGRAM BE ADMINISTERED?

IT IS PROPOSED THAT THE AGENCY PROGRAM BE A DECENTRALIZED ONE. THAT IS, IT WILL BE COMPOSED OF MANY AREA PROGRAMS ESTABLISHED AT LEVELS WHERE MAXIMUM BENEFITS CAN BE EXPECTED FROM REPORTS MANAGEMENT. THUS COMPONENT (AREA) PROGRAMS CAN BE DESIGNED TO MEET SPECIFIC NEEDS.

EACH AREA PROGRAM SHOULD COVER AS A MINIMUM: ALL RECURRING ADMINISTRATIVE OR MANAGEMENT REPORTS REQUIRED FROM, OR PREPARED FOR...

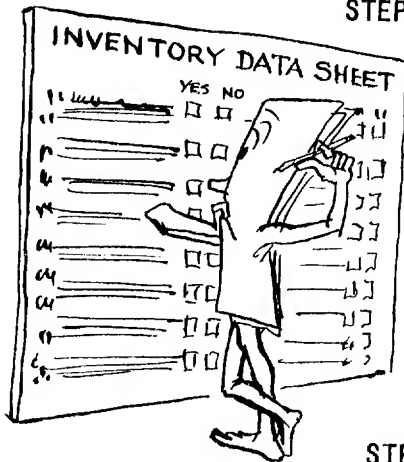
- (1) OTHER HEADQUARTERS COMPONENTS.
- (2) ANY CONTINENTAL OR OVERSEAS FIELD ACTIVITY.
- (3) ANY ORGANIZATION, FEDERAL OR PRIVATE, OUTSIDE THE AGENCY.

EMPHASIS IS THUS PLACED ON MANAGING RECURRING ADMINISTRATIVE OR MANAGEMENT REPORTS.

HOWEVER, THIS SHOULD NOT EXCLUDE APPLYING REPORTS MANAGEMENT PRINCIPLES TO ONE-TIME REPORTS, OR THOSE WHICH PROVIDE FOR THE COLLECTION, PRODUCTION, OR DISSEMINATION OF INTELLIGENCE.

REGARDLESS OF THE SIZE OF YOUR ORGANIZATION OR THE COMPLEXITIES OF ITS REPORTS, CERTAIN STEPS ARE ESSENTIAL. LET'S BRIEFLY EXAMINE THESE.

### STEP 1 - THE REPORTS INVENTORY



THIS STEP BUILDS THE PROGRAM'S FOUNDATION. IT PROVIDES DATA FOR AN IMMEDIATE ANALYSIS OF YOUR REPORTS, AND FURNISHES RECORD MATERIAL FOR CONTINUING THE PROGRAM. EACH REPORTING REQUIREMENT SHOULD BE DESCRIBED ON A DATA SHEET. IN ADDITION, IT WILL BE DESIRABLE TO ATTACH SPECIMEN COPIES OF THE REPORT, COPIES OF PERTINENT DIRECTIVES OR INSTRUCTIONS, AND OTHER DESCRIPTIVE MATERIAL.

### STEP 2 - THE REPORTS ANALYSIS

THE MOST OPPORTUNE TIME FOR THIS ANALYSIS IS DURING THE INVENTORY. IT IS THEN THAT PROBLEM AREAS ARE REVEALED. FURTHERMORE, THE INVENTORY DATA SHEET CAN BE USED TO RECORD RECOMMENDATIONS.

ANALYSIS PROJECTS SHOULD BE PLANNED AND COORDINATED. HERE'S WHY.....



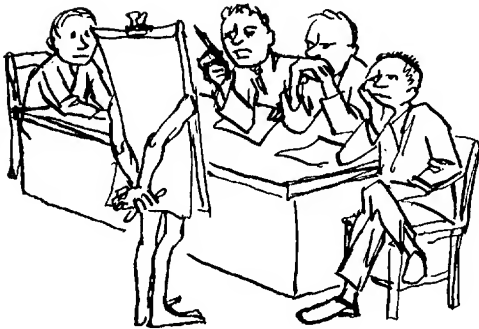
1. MANY REPORTS ARE INTERRELATED.
2. THE PROBLEMS OF THOSE WHO REQUIRE REPORTS AS WELL AS THOSE WHO MUST PREPARE AND SUBMIT THEM SHOULD BE CONSIDERED.
3. AN ANALYSIS OF REPORTING DOCUMENTS ALONE IS NOT ENOUGH. EQUALLY IMPORTANT IS AN EXAMINATION OF THE RELATED PROCEDURES AND RECORDS.
4. OUR REPORTING SYSTEMS CONTAIN A WIDE VARIETY OF NARRATIVE, TABULAR, GRAPHIC, AND PUNCH CARD REPORTS. ANALYZING THESE REQUIRES A KNOWLEDGE OF MANY TECHNIQUES. THE SERVICES OF AGENCY SPECIALISTS MAY THEREFORE BE NEEDED.

COPIES (AND PERSONAL ASSISTANCE, IF DESIRED) WILL BE FURNISHED BY THE REPORTS AND CORRESPONDENCE MANAGEMENT BRANCH. ALSO, THE INVENTORY DATA SHEETS CONTAIN BASIC QUESTIONS TO AID THE ANALYST. FOR EXAMPLE:

9. COMPLETE THE FOLLOWING USING SPACE 10 IF NECESSARY:		YES	NO
A. DOES INFORMATION IN THIS REPORT DUPLICATE IN ANY MANNER DATA IN OTHER REPORTS YOU PREPARE? IF SO, SPECIFY THE REPORTS.			
B. IS THE INFORMATION REPORTED IN MORE DETAIL, SUBMITTED MORE FREQUENTLY, OR GIVEN WIDER DISTRIBUTION THAN IS CONSIDERED NECESSARY? IF SO, EXPLAIN AND RECOMMEND CHANGES.			
C. IS YOUR OFFICE ABLE TO MEET THE REQUIRED SUBMISSION DATE FOR THIS REPORT WITHOUT DETRIMENT TO OPERATIONS? IF NOT, EXPLAIN. SPECIFY IF ANY OVERTIME HAS BEEN REQUIRED TO MEET DUE DATES. RECOMMEND CHANGES.			
D. IS THE FORM OR FORMAT PRESCRIBED FOR THIS REPORT ADEQUATE WITH REGARD TO: (1) SPACING - - - - - (2) WEIGHT OF PAPER? ( <i>Can sufficient copies be made at one typing?</i> ) - - - - - (3) POSSIBLE ELIMINATION OF TRANSMITTAL LETTERS? - - - - -			
E. IF THE REPORT IS REPRODUCED BY MIMEOGRAPH, DITTO, MULTILITH, ETC., DO THE MASTERS CONTAIN THE MAXIMUM AMOUNT OF PREPRINTED DATA ( <i>headings, lines, etc.</i> )?			
F. ARE INSTRUCTIONS FOR THE PREPARATION OF THIS REPORT CLEAR AND COMPLETE?			
G. WOULD YOUR OFFICE CONTINUE TO: (1) MAINTAIN - - - - - (2) COMPILE - - - - - THE DATA BEING SUBMITTED IN THIS REPORT, IF THE DIRECTIVES FOR ITS SUBMISSION WERE RESCINDED? IF SO, EXPLAIN.			
10. WHAT IS YOUR APPRAISAL OF THIS REPORT? RECOMMEND ANY IMPROVEMENTS INCLUDING REVISED PREPARATION PROCEDURES.			

D. IS THE INFORMATION REQUIRED BY YOUR OFFICE APPROPRIATE TO ITS ASSIGNED FUNCTIONS, RESPONSIBILITIES, AND AUTHORITY?		
E. IS THE INFORMATION REQUIRED ACTUALLY AND ACTIVELY USED AS A BASIS FOR ACTIONS, PLANS, OR DECISIONS, AND DOES SUCH USE FULLY JUSTIFY THE COST OF PREPARING THE REPORT?		
F. DOES THE NEED FOR THIS REPORT RESULT FROM ADMINISTRATIVE OR PROCEDURAL PROBLEMS WHICH SHOULD BE CORRECTED RATHER THAN REPORTED? IF SO, RECOMMEND CHANGES.		
G. IS THE REPORT DESIGNED TO SERVE A PURPOSE WHICH COULD BE ACCOMPLISHED MORE EFFECTIVELY SOME OTHER WAY SUCH AS THROUGH DIRECT SUPERVISION OR INSPECTION? IF SO, RECOMMEND REVISIONS.		

STEP 2 - THE REPORTS REVIEW



FINDINGS AND RECOMMENDATIONS WHICH RESULT FROM THE WORKING-LEVEL REPORTS ANALYSIS GENERALLY REQUIRE STUDY OR RESOLVING BY HIGHER AUTHORITY. THIS IS THE PURPOSE OF THE REPORTS REVIEW.

THE AREA RECORDS OFFICER AND REPRESENTATIVES OF THOSE UNITS CONCERNED WITH THE REPORTS UNDER REVIEW SHOULD PARTICIPATE. IN ADDITION, A MEMBER OF THE REPORTS AND CORRESPONDENCE MANAGEMENT BRANCH WILL BE

MADE AVAILABLE TO SERVE IN AN ADVISORY CAPACITY. IF DESIRED, A PANEL MIGHT BE ESTABLISHED FROM WHICH COMMITTEES COULD BE APPOINTED TO REVIEW REPORTS.

ON THE BASIS OF THIS REVIEW...

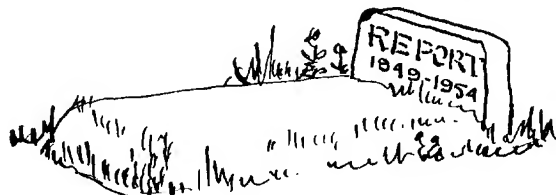
SOME REPORTS WILL BE FOUND  
ESSENTIAL IN EVERY RESPECT.



OTHERS WILL BE CORRECTED  
IMMEDIATELY...



OR CANCELLED!



...WHILE STILL OTHERS MAY REQUIRE FURTHER STUDY.



CASE FOLDERS AND REFERENCE FILES SHOULD BE ESTABLISHED CENTRALLY ON EACH REPORTING REQUIREMENT AS A BASIS FOR CONTINUING THE PROGRAM. RECORD MATERIAL WILL RESULT FROM THE INVENTORY, ANALYSIS, AND REVIEW.

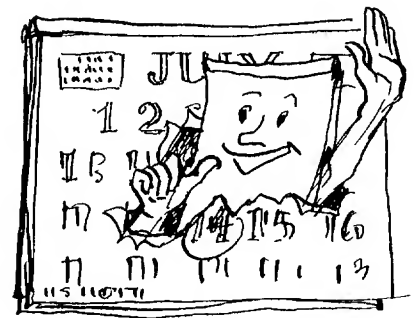
#### HOW IS THE PROGRAM CONTINUED?



TO BE SUCCESSFUL, THE PROGRAM MUST PROVIDE FOR A CONTINUING REVIEW OF REPORTS.

EACH NEW OR REVISED REPORTING REQUIREMENT SHOULD BE SCREENED FOR NECESSITY BY APPROPRIATE AUTHORITY PRIOR TO BEING ESTABLISHED.

EACH CURRENT REPORTING REQUIREMENT SHOULD BE RE-EXAMINED AT LEAST ANNUALLY TO ENSURE THAT ITS CONTINUANCE IS FULLY JUSTIFIED. THESE RE-VIEWS SHOULD BE STAGGERED THROUGHOUT THE YEAR TO DISTRIBUTE THE WORKLOAD. THE RE-EVAL- UATION PROCESS CAN BE SIMILAR TO THAT USED TO ANALYZE THE REPORTS DURING THE INSTALLATION PHASE. THAT IS, OPERATING PEOPLE EXAMINE THEIR REPORTING REQUIREMENTS AND SUBMIT RECOMMENDA- TIONS TO A REVIEW BODY FOR ACTION.



IT SHOULD BE REMEMBERED THAT AN ANNUAL REVIEW IS ADEQUATE ONLY IF CONDI- TIONS REMAIN STABLE. PROGRAMS ON WHICH INFORMATION IS REPORTED MAY AC- CELERATE OR DECELERATE RAPIDLY. CHANGES IN ORGANIZATION AND FUNCTIONS TAKE PLACE. NEW FORCES OR TRENDS COME INTO BEARING. UNDER THESE CONDI- TIONS REPORTS SHOULD BE CONTINUALLY APPRAISED TO ASSURE THAT THEY ARE ECONOMICALLY SERVING THE PURPOSES FOR WHICH THEY WERE ESTABLISHED.

IF THIS IS DONE YOU CAN BE ASSURED OF....

FEWER REPORTS, BETTER REPORTS, AT LESS COST!

A STAFF REPRESENTATIVE WILL BE PLEASED TO DISCUSS REPORTS MANAGEMENT FUR-  
THER WITH YOU. CALL EXTENSION [REDACTED]

STATOTHR

SAMPLE OFFICE NOTICE INAUGURATING A REPORTS  
MANAGEMENT PROGRAM

SUBJECT: ABC Office Reports Management Survey

1. GENERAL

This Notice sets forth procedures and responsibilities for an inventory and analysis of current reporting requirements, preparatory to establishing an Office-wide Reports Management Program.

2. OBJECTIVES

This survey will provide the foundation for a continuing program designed to:

- a. Eliminate and prevent unnecessary reporting.
- b. Insure that instructions, forms, and procedures for necessary reporting are clear and complete to provide simple, direct reporting methods.
- c. Improve the quality of reports.
- d. Provide a central reference point for information on reports.

In brief, the ABC Office Reports Management Program will mean fewer reports, better reports, at less cost.

3. DEFINITIONS

- a. Report - An account or statement of information prepared in written narrative, tabular, punch card, or graphic form, and transmitted from one organizational element to another on a recurring basis.
- b. Administrative or Management Report - As distinguished from an operational or intelligence report, it is a report that provides for administrative or management control over an activity or operation.
- c. Recurring Report - Either a periodic report which conveys essentially the same type of information regularly at prescribed intervals (daily, weekly, monthly, etc.) or a situation report which is prepared on each occurrence of an event of certain prescribed characteristics.

#### 4. SCOPE

With the exception of those reports and documents listed in Enclosure 1, the inventory and analysis shall include all recurring administrative or management reports which ABC Office components either require from, or prepare for:

- a. Other Headquarters components, including those in the ABC Office.
- b. Any continental or overseas field activity.
- c. Any organization (Federal or private) outside the Agency.

#### 5. RESPONSIBILITIES

- a. The Chief, Administrative Staff in collaboration with the Area Records Officer, shall:
  - (1) Direct the inventory by providing guidance and interpretations.
  - (2) Serve as the collecting agent for inventory and analysis material.
  - (3) Review findings and recommendations resulting from analyses, and conduct such additional studies as deemed necessary.
  - (4) Submit to the Chief of ABC recommendations for eliminating, simplifying or otherwise improving reports.
- b. Chiefs of Staffs and Divisions shall:
  - (1) Direct that the inventory and analysis be conducted within each component under their authority.
  - (2) Review recommendations and findings of subordinate components.
  - (3) Forward the inventory and analysis material on each reporting requirement to the Chief, Administrative Staff, prior to \_\_\_\_\_ 1954.

#### 6. PROCEDURE

- a. Inventory and Analysis - Enclosure 2 provides detailed instructions for inventorying and analyzing reporting requirements. Additional copies of this guide and the forms to be used during this survey may be obtained from the Administrative Staff, extension [REDACTED]

STATOTHR

- b. Approval of New or Revised Reporting Requirements -  
Effective immediately, any proposal to establish a new reporting requirement, or to revise an existing one, shall be submitted through the Chief, Administrative Staff, to the Chief of ABC for approval.

7. CONTINUATION OF THE PROGRAM

This Notice will be rescinded by an ABC Office Instruction upon completion of the reports survey. At that time, policies, responsibilities, and procedures for a continuing Office-wide Reports Management Program will be established. Suggestions for a program to meet our needs are invited.

U. R. WRIGHT  
Chief of ABC

TYPES OF REPORTS AND DOCUMENTS EXEMPTED FROM THE  
ABC OFFICE REPORTS MANAGEMENT SURVEY

1. Reports providing for the collection, production, and dissemination of intelligence.
2. Reports of inspection prepared by inspectors general.
3. Official reports of audit, survey, or investigation by administrative bodies appointed for that purpose.
4. Formal reports of official proceedings of formally constituted judicial or administrative bodies appointed for that purpose.
5. Formal reports of findings, recommendations, or actions prepared by special committees or boards appointed to inquire into and report on a particular matter. However, recurring reports initiated by such committees or boards to obtain data required for their work are not exempt under this provision.
6. Comments and/or concurrences as part of routine clearance of proposed actions, requisitions, or publications.
7. One-time recommendations, suggestions, or evaluations as to plans, policies, or procedures, and official employee or beneficial suggestions.
8. Replies to requests for suggested agenda for meetings.
9. Agency budget requirements:
  - a. The annual budget estimate or request for funds required by law. This exemption does not include periodic collections of data used to develop or supplement budget estimates or fund requests.
  - b. Reports upon apportionment and allocation of appropriated funds.

TYPES OF REPORTS AND DOCUMENTS EXEMPTED FROM THE  
ABC OFFICE REPORTS MANAGEMENT SURVEY (Cont.)

10. The following operating documents:

Affidavits	Identification
Agreements	Leases
Announcements	Liens
Applications or requests	Oaths of office
Authorizations	Payrolls
Bids	Permits
Bills	Performance bonds
Bills of lading	Receipts
Certifications	Receiving-and-inspection forms
Claims	Requisitions
Contracts and initial	Sales slips
allied papers	Shipping orders
Depositions	Specifications
Guarantees	Statements of witnesses

This exemption covers only the actual operating documents themselves. Reports concerning progress in preparing, numbers processed, etc., are not exempt.

PROCEDURES FOR CONDUCTING THE ABC  
OFFICE REPORTS MANAGEMENT SURVEY

1. GENERAL

- a. The reports survey is an essential step in establishing the ABC Office Reports Management Program. It provides the foundation, that is: (1) A complete description and case history of each reporting requirement, and (2) an analysis of these requirements to point up reporting deficiencies and ways to correct them. In addition, the survey will provide experience on which policies and procedures for continuing the program can be based. The importance of this survey thus dictates that persons selected to participate should have a broad knowledge of their component's reporting requirements, and be qualified to analyze them objectively for possible improvements.
- b. The following terms apply to simplify stating survey procedures:
  - (1) Required Report (Incoming Report) - A report which a component requires from one or more other elements. The report is an incoming report to the office which requires it.
  - (2) Prepared Report (Outgoing Report) - A report which a component prepares at the request of another element. The report is an outgoing report from the office which prepares it.

2. THE INVENTORY

- a. Take the following action on each current requirement for either a required or prepared report:
  - (1) Complete an original and one copy of either Required Reports Analysis Sheet, Form No. 143 (Attachment A), or Prepared Reports Analysis Sheet, Form No. 144 (Attachment B).
  - (2) To the original of each Analysis Sheet, attach one copy of each directive affecting the report, a specimen copy of the report, and any other descriptive material.
- b. It will not be necessary to furnish copies of directives (authorities) issued as Agency or ABC Office Regulations, Instructions or Notices.

3. THE ANALYSIS

- a. Personnel shall analyze each reporting requirement concurrent with taking the inventory. The need for required reports will be fully justified. Prepared reports shall be analyzed with a view to improving preparation procedures, and recommending to the requiring office, ways to reduce or simplify reporting.
- b. Forms No. 143 and 144 contain questions which establish criteria for analyzing reports. Additional and more detailed guides are provided in Attachment C, "Analyzing Requirements for Administrative and Management Reports."

4. SUBMISSION OF INVENTORY AND ANALYSIS MATERIAL

Completed Analysis Sheets, together with supporting material, shall be forwarded through supervisors and component chiefs for review, prior to being submitted to the Chief, Administrative Staff by \_\_\_\_\_ 1954.



1. REPORT TITLE		2. DATE ANALYZED	
3. AUTHORITIES OR DIRECTIVES REQUIRING THIS REPORT			
4. REPORT FORMAT (Form no., memorandum, machine tabulation, etc.)		5. FREQUENCY OF REPORT AND NUMBER OF COMPONENTS REPORTING	
		<input type="checkbox"/> DAILY <input type="checkbox"/> MONTHLY <input type="checkbox"/> SEMI-AN <input type="checkbox"/> SITUATION (No. of reports received annually) <input type="checkbox"/> WKLY <input type="checkbox"/> QTRLY <input type="checkbox"/> ANNUALLY <input type="checkbox"/> OTHER _____	
6. NUMBER OF COPIES REQUIRED AND THEIR DISTRIBUTION			
7. Considering every organizational element of the Agency concerned with this report, what is your best estimate of the total man days expended <u>annually</u> in its preparation and handling?.....			
8. Complete the following using Space 9 if necessary:			YES NO
a. Does this report duplicate in whole or in part any other report known to exist in the Agency? If so, explain.			
b. Is the information required by your office appropriate to its assigned functions, responsibilities, and authority?			
c. Is the information required actually and actively used as a basis for plans, actions, or decisions, and does such use fully justify the cost of the report?			
d. Is the information reported in more detail, submitted more frequently, or given wider distribution than is necessary to serve the purpose for which the report was established:			
e. Does the need for this report result from administrative or procedural problems which should be corrected rather than reported? If so, recommend changes.			
f. Is the report designed to serve a purpose which could be accomplished more effectively some other way such as through direct supervision or inspection? If so, recommend an improved way.			
g. Is the form or format of the report adequate with respect to: (1) Spacing? (2) Weight of paper? Can sufficient copies be prepared at one typing?.... (3) Postage? If so, recommend a better way.			

Approved For Release 2001/11/16 : CIA-RDP78-00433A000100150006-0

9. What is the justification for continuing this report? Recommend any revisions. In your appraisal consider the volume of data already collected, changes in organization and functions, program progress, trends, etc., since the reporting requirement was established.

(Continue on separate sheet, if necessary.)

REPORT WAS ANALYZED BY:	COMPONENT	BUILDING	ROOM NO.	PHONE
-------------------------	-----------	----------	----------	-------

REVIEW BY CHIEFS OF COMPONENTS

COMMENDATIONS

(Continue on separate sheet, if necessary.)

SIGNATURE	TITLE	DATE
-----------	-------	------

RECOMMENDATIONS

(Continue on separate sheet, if necessary.)

SIGNATURE	TITLE	DATE
-----------	-------	------

Approved For Release 2001/11/16 : CIA-RDP78-00433A000100150006-0

1. REPORT TITLE		2. DATE ANALYZED	
3. AUTHORITIES OR DIRECTIVES REQUIRING THIS REPORT			
4. REPORTING FREQUENCY (Daily, weekly, monthly, as situations occur, etc.)		5. REPORT FORMAT (Form no., memo, machine tabulation, etc.)	
6. NUMBER OF COPIES PREPARED AND THEIR DISTRIBUTION			
7. BRIEF DESCRIPTION OF HOW REPORT IS PREPARED (Include information on records maintained, machines utilized, requirements for data from other offices, average number of pages per report, etc.)			
8. Complete the following using Space 10 if necessary:			
			YES NO
a. Does information in this report duplicate in any manner data contained in other reports your component prepares? If so, specify the reports.			
b. Is the information reported in more detail, submitted more frequently, or given wider distribution than is considered necessary? If so, explain and recommend changes.			
c. Is your office able to meet the required submission date for this report without detriment to operations? If not, explain. Specify if any overtime has been required to meet due dates. Recommend changes.			
d. Is the form or format prescribed for the report adequate with respect to:			
(1) Spacing?.....			
(2) Weight of paper? Can sufficient copies be made at one typing?.....			
(3) Possible elimination of transmittal correspondence?.....			
e. If the report is reproduced by mimeograph, Ditto, multilith, etc., do the masters contain the maximum amount of preprinted data (headings, lines, etc.)?			
f. Are instructions for the preparation of this report clear and complete?			
g. Would your office continue to:			
(1) Maintain.....			
(2) Compile.....			
the data being submitted in this report if the directives for its submission are not followed, why?			

9. Considering the elements of 2001/11/16 : CIA-RDP78-00433A000100150006-0  
your best estimate of the total man days expended annually in the preparation and handling of this report?.....

10. What is your appraisal of this report? Recommend any improvements, including revised preparation procedures.

(Continue on separate sheet, if necessary.)

REPORT WAS ANALYZED BY:

COMPONENT

BUILDING

ROOM NO.

PHONE

REVIEW BY CHIEFS OF COMPONENTS

RECOMMENDATIONS

(Continue on separate sheet, if necessary.)

SIGNATURE

TITLE

DATE

RECOMMENDATIONS

(Continue on separate sheet, if necessary.)

SIGNATURE

TITLE

DATE

Approved For Release 2001/11/16 : CIA-RDP78-00433A000100150006-0

SAMPLE OFFICE REGULATION FOR OPERATING  
A REPORTS MANAGEMENT PROGRAM

REPORTS MANAGEMENT

Rescission: ABC Office Notice No. 00

CONTENTS

	<u>Page</u>		<u>Page</u>
PURPOSE.....	1	DEFINITIONS.....	3
SCOPE.....	1	RESPONSIBILITIES.....	4
POLICIES.....	2	PROCEDURES.....	5

1. PURPOSE

This Regulation establishes requirements for a continuing Office-wide Reports Management Program designed to:

- a. Eliminate and prevent unnecessary reporting.
- b. Insure that instructions, forms, and procedures for necessary reporting are clear and complete, and provide simple, direct, reporting methods.
- c. Improve the quality of reports.
- d. Provide central reference points for information on reports.

In brief, our objective is fewer reports, better reports, at less cost.

2. SCOPE

With the exception of those reports and documents listed in Enclosure 1, the Program includes all recurring administrative or management reports which ABC Office components either require from, or prepare for:

- a. Other Headquarters components, including those in the ABC Office.
- b. Any continental or overseas field activity.
- c. Any organization (Federal or private) outside the Agency.

Emphasis is thus placed on managing recurring administrative or management reports. However, this does not exclude applying

reports management principles to one-time reports, or those which provide for the collection, production, or dissemination of intelligence.

### 3. POLICIES

- a. Report Directives. Requirements for reports shall be stated in clear and complete written directives rather than orally.
- b. Essentiality. Reports shall be required only to collect essential information, as distinct from that which is merely interesting or informative.
- c. Duration and Frequency. Reporting requirements shall be continued only as long and submitted only as frequently as circumstances dictate.
- d. Consolidation. Related reports in the same subject matter area shall be consolidated wherever possible.
- e. Summarization. Reports shall be summary in nature insofar as practicable, and devoid of unnecessary detail.
- f. Economical Procedures. Reporting procedures shall be as simple and direct as possible. Existing basic records shall be employed as sources to the fullest extent. Methods of preparing and transmitting reports shall be the most economical consistent with the end use of the required information. Reports that are self-identifying shall be forwarded without transmittal correspondence.
- g. Creation Control. The following controls over the creation of reporting requirements shall be maintained:
  - (1) Proposed reporting requirements shall be reviewed and approved by a Reports Control Authority.
  - (2) Each new or revised requirement for a recurring report shall be reappraised within three months after submission of the first report.
  - (3) Each reporting requirement initiated by an ABC Office component and not exempted from the Program shall be assigned a reports control symbol. Such a symbol will identify a requirement and indicate to activities or offices which are to prepare the report that the requirement has been approved by appropriate authority. A reporting requirement exempted from the Program shall be so identified in the report directive. Reports

control symbols shall be cited in report directives and in reports submitted accordingly. Personnel receiving a report directive which does not cite a reports control symbol or an exemption clause shall refer the matter to their Reports Control Authority.

- h. Periodic Review. Each requirement for a recurring report which an ABC Office component has established, and each similar requirement placed upon an ABC Office component, shall be reappraised at least annually. The need for required reports shall be fully justified. Prepared reports shall be analyzed with a view to improving preparation procedures, and recommending to requiring offices ways to reduce or simplify reporting.

#### 4. DEFINITIONS

- a. Report. An account or statement of information in written narrative, tabular, punch card, or graphic form, and transmitted from one organizational element to another on a one time or recurring basis.
- b. Administrative or Management Report. As distinguished from an operational or intelligence report, it is a report that provides for administrative or management control over an activity or operation.
- c. Recurring Report. Either a periodic report which conveys essentially the same type of information at prescribed intervals (daily, weekly, monthly, etc.) or a situation report which is prepared on each occurrence of an event of certain prescribed characteristics.
- d. Required Report (Incoming Report). A report which a component requires from one or more other elements. The report is an incoming report to the office which requires it.
- e. Prepared Report (Outgoing Report). A report which a component prepares at the request of another element. The report is an outgoing report from the office which prepares it.
- f. Reports Control Authority. An official responsible for reviewing and approving ABC Office reporting requirements and assigning reports control symbols thereto. Reports control authority is assigned to:
  - (1) The ABC Office Area Records Officer who has jurisdiction over:
    - (a) Reports required from, or submitted to, Agency components outside the ABC Office.

- (b) Reports submitted from one ABC staff or division to another.
- (2) Division and Staff Chiefs or their designees who have jurisdiction over reports submitted solely within their respective components.
- g. Reports Control Symbol. A symbol of identification and approval assigned to a reporting requirement by a Reports Control Authority. A reports control symbol is composed of the organizational symbol of the component which requires the report, the abbreviation "rep" for "report," and the numerical designation of the reporting requirement.

Numerical designations are assigned in consecutive order as reporting requirements are reviewed and approved by a Reports Control Authority. Numerical designations for intra division or staff reporting requirements are enclosed in parentheses--e.g., ABC/PD-Rep-(1). Designations for inter division or staff reporting requirements, and those placed upon Agency components outside the ABC Office, are not so enclosed--e.g., ABC/PD-Rep-1.

## 5. RESPONSIBILITIES

- a. The Chief, Administrative Staff, in collaboration with the ABC Office Area Records Officer, shall:
  - (1) Direct and coordinate the overall Program by providing staff guidance and all basic plans, policies, and procedures.
  - (2) Review and approve reporting requirements under jurisdiction of the Area Records Officer, and recommend ways to eliminate, simplify, or otherwise improve reports. Recommendations which cannot be resolved between the Chief, Administrative Staff and chiefs of other components shall be referred to the Chief of ABC.
  - (3) Conduct studies and reappraisals, maintain records, publish lists of reporting requirements, and submit reports in accordance with this Regulation and the "ABC Office Reports Management Program Guide."
  - (4) Maintain liaison with the Management Staff, Reports and Correspondence Management Branch, for staff guidance and participation in the Agency Reports Management Program.



- b. Division and Staff Chiefs or their designees shall review and approve reporting requirements under their jurisdiction, conduct studies and reappraisals, and perform such other Reports Control Authority functions as necessary to meet the requirements of this Regulation and the "ABC Office Reports Management Program Guide."

6. PROCEDURES

- a. Request for Approval of a New or Revised Reporting Requirement. All new or revised reporting requirements originated within the ABC Office shall be submitted to the appropriate Reports Control Authority for approval prior to being established. Originators shall submit the following material through channels:
  - (1) An original and one copy of Form No. 142 (Enclosure 2).
  - (2) An original and one copy (in draft form) of the proposed report directive, including all forms, instructions, and procedures proposed to be issued.
  - (3) Any additional supporting material that will assist approving officials with their review.
- b. Transmitting Copies of Report Directives to Reports Control Authorities. Immediately upon issuing a directive which initiates, revises or rescinds a reporting requirement, the originator shall forward a copy of the directive and all supporting material to his Reports Control Authority.
- c. Discontinuing Reporting Requirements. The appropriate Reports Control Authority shall be notified immediately upon the discontinuance of a reporting requirement.
- d. Requests for Reports Received from Components Outside the ABC Office. All requests received directly from components outside the ABC Office shall be brought to the attention of the Chief, Administrative Staff.

U. R. WRIGHT  
Chief of ABC

Enclosures:

- 1. Types of Reports and Documents  
Exempted from the ABC Office  
Reports Management Program
- 2. Form No. 142, Request for Approval  
of a New or Revised Reporting  
Requirement

TYPES OF REPORTS AND DOCUMENTS EXEMPTED FROM THE  
ABC OFFICE REPORTS MANAGEMENT PROGRAM

1. Reports providing for the collection, production, and dissemination of intelligence.
2. Reports of inspection prepared by inspectors general.
3. Official reports of audit, survey, or investigation by administrative bodies appointed for that purpose.
4. Formal reports of official proceedings of formally constituted judicial or administrative bodies appointed for that purpose.
5. Formal reports of findings, recommendations, or actions prepared by special committees or boards appointed to inquire into and report on a particular matter. However, recurring reports initiated by such committees or boards to obtain data required for their work are not exempt under this provision.
6. Comments and/or concurrences as part of routine clearance of proposed actions, requisitions, or publications.
7. One-time recommendations, suggestions, or evaluations as to plans, policies, or procedures, and official employee or beneficial suggestions.
8. Replies to requests for suggested agenda for meetings.
9. Agency budget requirements:
  - a. The annual budget estimate or request for funds required by law. This exemption does not include periodic collections of data used to develop or supplement budget estimates or fund requests.
  - b. Reports upon apportionment and allocation of appropriated funds.

ENCLOSURE 1

TYPES OF REPORTS AND DOCUMENTS EXEMPTED FROM THE  
ABC OFFICE REPORTS MANAGEMENT PROGRAM (CONTINUED)

10. The following operating documents:

Affidavits	Identification
Agreements	Leases
Announcements	Liens
Applications or requests	Oaths of office
Authorizations	Payrolls
Bids	Permits
Bills	Performance bonds
Bills of lading	Receipts
Certifications	Receiving-and-inspection forms
Claims	Requisitions
Contracts and initial	Sales slips
allied papers	Shipping orders
Depositions	Specifications
Guarantees	Statements of witnesses

This exemption covers only the actual operating documents themselves. Reports concerning progress in preparing, numbers processed, etc., are not exempt.

TO:		DATE REQUEST SUBMITTED
THROUGH:		
1. TITLE OF REPORT		
2. CHECK WHICH <input type="checkbox"/> NEW <input type="checkbox"/> REVISED	3. IF REVISED, INDICATE NATURE OF REVISION	
4. LIST ANY REPORTS TO BE SUPERSEDED BY THIS NEW OR REVISED REPORTING REQUIREMENT		5. PROPOSED DURATION OF REPORT <input type="checkbox"/> INDEFINITE <input type="checkbox"/> TEMPORARY (Designate period.)
6. DIRECTIVES OR AUTHORITY (ORIGINATED BY YOUR ORGANIZATIONAL ELEMENT) REQUIRING THE SUBMISSION OF THIS REPORT		
7. OTHER CURRENT DIRECTIVES, AUTHORITIES, OR INSTRUCTIONS AFFECTING THE REPORT		
8. REPORT FORMAT (Form no., machine tabulation, memo, etc.)	9. REPORTING FREQUENCY	10. DATE REPORT IS DUE IN YOUR OFFICE
11. SUPPORTING MATERIAL REQUIRED TO BE SUBMITTED WITH THE REPORT		
12. ACTIVITIES OR COMPONENTS REQUIRED TO SUBMIT THIS REPORT	13. DISTRIBUTION OF REPORT ORIGINAL: COPIES:	

14. DETAILED SUMMARY OF FINDINGS OF THIS REPORT  
Approved For Release 2001/11/16 : CIA-RDP78-00433A000100150006-0

15. PERSON TO CONTACT REGARDING THIS REPORT:

NAME

BUILDING

ROOM NO.

PHONE

REVIEW BY CHIEFS OF COMPONENTS

RECOMMENDATIONS

SIGNATURE

TITLE

DATE

RECOMMENDATIONS

SIGNATURE

TITLE

DATE

☒ RETURNED, APPROVED

☐ RETURNED, DISAPPROVED

☐ COMMENTS ARE ATTACHED

SIGNATURE (Reviewing Official)

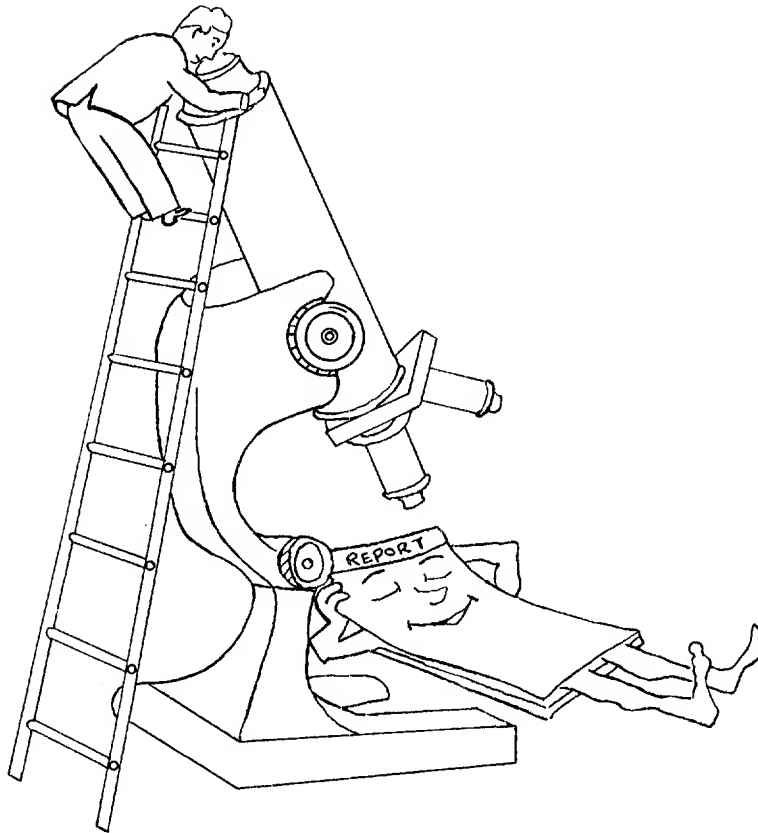
DATE

Approved For Release 2001/11/16 : CIA-RDP78-00433A000100150006-0

# ANALYZING

REQUIREMENTS FOR ADMINISTRATIVE OR MANAGEMENT

# REPORTS



MANAGEMENT STAFF  
RECORDS MANAGEMENT DIVISION

NOVEMBER 1954

INTRODUCTION

A sage old fire chief at a large naval base was being questioned about fire regulations. "What about reporting fire hazards?" he was asked. "If you mean in writing, heck no!" he replied (but probably in somewhat stronger terms). And he added, "By the time I got the word the darn place would be burned down!"

The Chief didn't know it, but he was practicing reports management. Simple and direct reporting of essential information was what he wanted. And it paid off, judging from his excellent fire prevention record.

Unfortunately, most Agency requirements for reports cannot be stated as simply, nor complied with so easily. Extensive activity requiring administrative or management control, a complex organization, and changing conditions tend to complicate the reporting picture. Thus an analysis of your reporting requirements is essential--at the time they are created and periodically thereafter. Here is your guide.

This pamphlet is not a complete course in reports analysis. Instead, it is a collection of what might be termed "thought starters," to create a consciousness of the keys to sound reporting, and to serve as a check list during your analysis. Additional copies may be obtained from the Reports and Correspondence Management Branch, Management Staff.

CONTENTS

	<u>Page</u>
PLANNING YOUR ANALYSIS . . . . .	i
QUESTIONING THE BASIC NEED FOR A REPORT . . . . .	i
ANSWERING THE NEED	
Essentials of a Good Reporting Requirement . . . . .	2
Reporting Frequency . . . . .	2
Due Date . . . . .	2
Report Format . . . . .	2
Report Directive . . . . .	3
Need for Copies . . . . .	5
Preparing and Submitting Reports . . . . .	5
SUMMARY . . . . .	6





### PLANNING YOUR ANALYSIS

Analyzing requirements for reports is simply applying the logic: If the information isn't needed, don't ask for it. If a report is necessary, assure that only essential data is compiled and submitted by the simplest and most direct means.

But significant results cannot be achieved by hit or miss tactics. A planned analysis is necessary. Reports that are interrelated must be studied together. Some are alike according to the functions they serve or the subjects they cover. Others, sometimes called "feeder reports" are only small segments of a reporting network designed to provide top management with a single document of information. The relationship of these "feeders" to the end product must be considered.



### QUESTIONING THE BASIC NEED FOR A REPORT

Is there a sound need for the report as a whole as well as for every item in the report? Consider these questions in making your decision...

- Is the information reported, appropriate to the assigned functions, responsibilities, or authority of the component requiring it?
- Does the report serve a purpose which could be accomplished some other way, such as through direct supervision or inspection?
- Does the need for the report result from an organizational or procedural problem which should be corrected rather than reported?
- Can the requiring office obtain the same information from another source or in a different format or manner, e.g., a copy of another report, a machine tabulation from punched cards maintained for another component, or copies of operating documents?
- Is the information reported actually and actively used as a basis for actions, plans, or decisions, and do these uses fully justify the cost required to prepare the report? Or asked another way--is full use being made of the information, or is it being gathered because "it's nice to know," or because some day there may be a use for it?

ANSWERING THE NEED

ESSENTIALS OF A GOOD REPORTING REQUIREMENT - Let's assume you're sure a report is needed in its entirety. That's a good start; but there are many other aspects of reporting that must be considered. Check for these...

Reporting Frequency - The reporting frequency must be consistent with the frequency with which the information is used. More frequent reporting is not justifiable. Furthermore, the frequency between each report should be of such length that significant changes are reflected. Programs on which information is reported often decelerate rapidly. Unless changed, the reporting frequency soon becomes unrealistic. Then too, the opposite may occur--the pace of a program is stepped up, or situations begin to happen so frequently that they should be summarized, rather than reported separately. Check a series of reports. What frequency is needed now; what is the trend?

Due Date - The date a report is due in an office should, if possible, be one convenient to the reporting activity. End-of-month, end-of-quarter, and end-of-year reporting should be avoided if possible since reporting workloads are heaviest at these times. Moreover, due dates should be based on working days, not calendar days. Determine the number of times the preparing office was unable to meet the due date. Also, how many times did a due date disrupt office routine to the detriment of operations? Was overtime ever required to meet the date?

Report Format

A good report format should meet these criteria...

- Be simple in design, and standard for each preparing activity.
- Provide for transmitting the report without covering correspondence.
- Be arranged so that the report can be prepared from records normally maintained by the preparing activities, yet designed to permit the recipient to locate information readily and apply it to his needs.

One of the surest ways to meet these criteria is to require that the report be submitted on an Agency form. Consider these additional advantages...

- Reports submitted on forms can be readily identified thus speeding their routing, processing, filing, and ultimate disposition (from a records retirement standpoint).
- Instructions for preparing and submitting the report can be placed on the form for ready reference.

However, the fact that a report presently is being submitted on an Agency form does not exclude its format from a reappraisal. Requirements for information change. The format satisfactory yesterday may be inadequate today. For example...

- Is there sufficient space in each box for fill-in?
- Is the form printed on such heavy stock that the number of legible copies needed cannot be made at one typing?
- Are reports prepared in such volume that carbon interleaved snap-out sets would be advantageous?
- If copies are duplicated, do the masters (stencil, Ditto, multilith, etc.) contain the maximum amount of preprinted data?

Report Directive - Requirements for reports should be established by clear and complete written directives. Good directives mean good reporting! Consider these points...

**PROVIDING A SINGLE  
SOURCE OF INSTRUCTIONS**

Cancel all previous directives which required the report, incorporating necessary past instructions in the new directive as an aid to personnel preparing reports.

**PURPOSE AND USE**

State clearly the purposes or uses of the data being collected. The Office which prepares the report needs to know the purposes and uses to (1) assure that the data reported will accomplish the objectives intended, and (2) make more accurate decisions in doubtful cases.

**REPORT TITLE**

Indicate the correct title of the report for later identification. Titles should be descriptive of contents.

**DUE DATE OF REPORT**

Specify the date on which the report is to arrive at its destination. For situation reports, specify how soon the report must be received after occurrence of the event. Establish a due date for a recurring report which allows the reporting workload to be more evenly distributed by the offices preparing and receiving the report.

PERIOD OR SITUATION COVERED	Specify the period of time, 'as of' date, or precise situation to be covered by the report. If data from several different reports are to be correlated, assure that the periods covered in these reports are comparable.
FIRST SUBMISSION OF THE REPORT	Specify when the requirement becomes effective, such as the date that the first recurring report is to be received, or the first period to be covered.
TERMINATION OF REPORT	For a temporary report, specify exactly when it is to be discontinued.
PREPARING ACTIVITIES	State specifically the types of activities which are to prepare the report.
DISTRIBUTION	Specify the number of copies to be prepared. Specify where each copy is to be sent.
FORMAT (IF NO FORM IS PROVIDED)	Specify the format for the items to be reported to (1) help insure uniformity in data reported and (2) simplify the transcription, comparison, evaluation, or other use of the data when it is received.
USE OF FORM	<p>Be sure the form includes information on where the report is to be forwarded, and from whom it is sent ('from' and 'to' information), in order to avoid use of separate transmittal correspondence. Request offices not to submit covering transmittal correspondence with reports prepared on forms.</p> <p>Specify where preparing offices are to secure supplies of the form, and the requisitioning procedure.</p>
SOURCE OF DATA	Specify the source from which the information is to be obtained to (1) assist the preparing office in easy compilation, and (2) insure comparable data from all activities.

**PROCEDURES FOR  
COMPILING**

Specify recommended procedures for obtaining and compiling the data. This will (1) aid preparing offices to use the best methods, and (2) insure accuracy and consistency of the report.

**WORDING**

Give clear instructions on each item to be reported. Use simple active or imperative verbs (as 'Enter the total cost...'). Give only one instruction in a single sentence. Keep the sentence concise. Be sure that the instructions can be interpreted in only one way.

Need for Copies - A positive as well as a negative approach must be taken in determining the need. For instance, assure that all who have an interest in the report are receiving sufficient copies. Also, do the recipients have any recommendations for improving the report. On the other hand, copies of reports are costly. They increase the volume of records our Agency must handle, store, and dispose of. They slow down report preparation procedures. One extra copy can double typing and proofreading time if that copy makes two typing runs necessary. Check to make sure that every copy provided is serving a useful purpose. Ask recipients...

- ✓ Do they wish to remain on distribution?
- ✓ Can they obtain similar data from another source?
- ✓ Is all the data utilized? If not, which can be eliminated?

Consider the cost of each copy. Count your copies; make your copies count!

PREPARING AND SUBMITTING REPORTS - Methods of preparing and submitting reports are almost as varied as there are types of reports. However, here are a few pointers having general application.

- Are files and other records arranged in such a manner that data can be readily extracted?
- Do fiscal and other accounting records contain control totals so that the accuracy of detailed data can be checked?
- Can fiscal and other accounting data be maintained on a cumulative basis to eliminate last minute workloads?

- For historical, progress, and other documentary-type reporting, is a brief running account of significant events and accomplishments maintained to avoid trying to "think back" over the period?
- Do graphs and charts reflect cumulative data? This is, is information added to the same reproducible master each reporting period?
- Do reproduction masters (Ditto, multilith, stencil, etc.) contain the maximum amount of preprinted data?
- Can data be recorded for photographic reporting, e.g., maintained currently on flex-o-line strips, "menu boards," or production control boards?
- Can machine tabulation procedures be used?
- Are reports that are self explanatory forwarded without transmittal correspondence? Reports are considered self explanatory if submitted on forms containing spaces for 'To,' 'From,' and the signature of the signing official.



#### SUMMARY

1. Plan your analysis, keeping in mind those reports that are interrelated.
2. Determine management's basic needs for reports.
3. Assure that the following essentials of a good reporting requirement answer these needs...
  - ✓ Realistic reporting frequency.
  - ✓ Practical due date.
  - ✓ Efficient format.
  - ✓ Clear and complete written directive.
  - ✓ Realistic requirements for copies.
4. Ensure that reports are prepared and submitted by the most efficient means.

If these points are considered, you can be assured of...

**FEWER REPORTS, BETTER REPORTS, AT LESS COST!**

## LETTEREX

### WHAT IS IT?

LETTEREX IS TISSUE STATIONERY WITH A SHEET OF ONE-TIME CARBON PAPER ATTACHED. ITS USE SPEEDS TYPING OPERATIONS AND REDUCES CARBON SOILAGE OF HANDS, STATIONERY, AND CLOTHING. NEATER TYPING PRODUCTIONS REQUIRING LESS PREPARATION TIME ARE THE NATURAL RESULT.

### HOW IS IT USED?

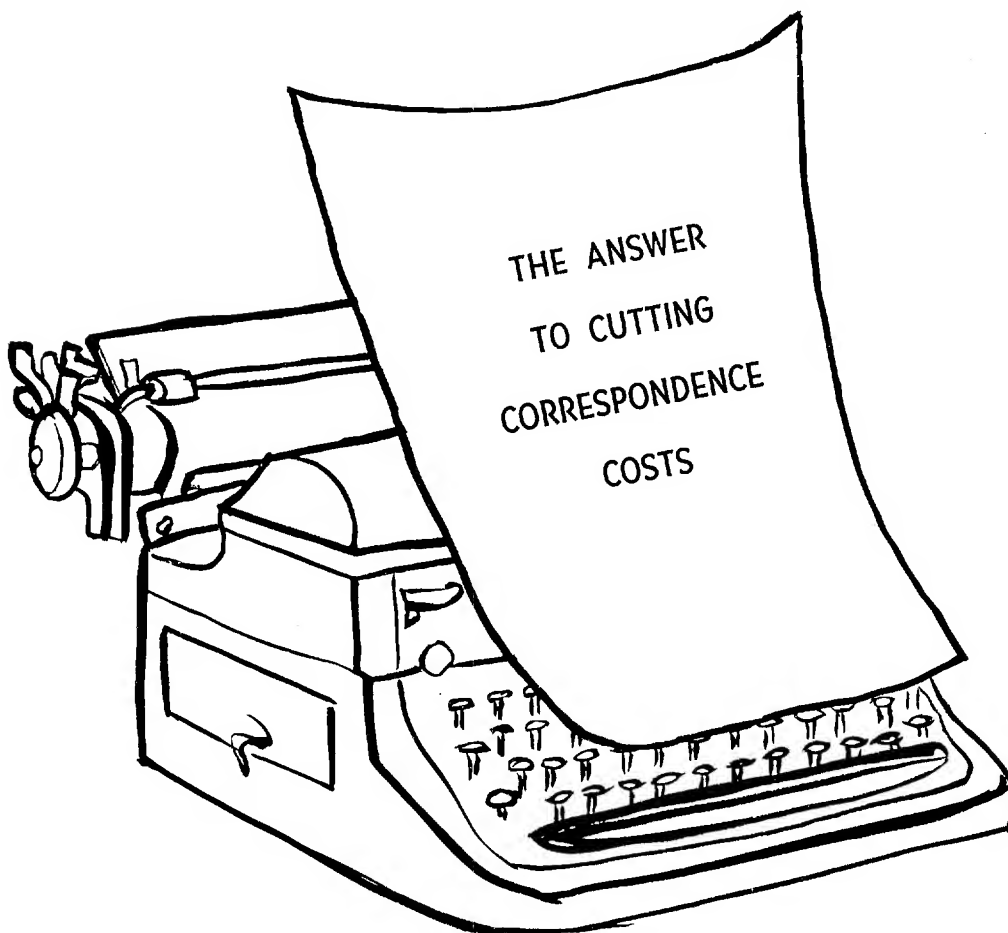
LETTEREX IS ASSEMBLED FOR TYPING IN THE SAME MANNER AS REGULAR STATIONERY; THAT IS, SIMPLY GATHER AS MANY SHEETS AS THERE ARE REQUIREMENTS FOR COPIES. ALINE THE BOND ORIGINAL AND LETTEREX AT THE TOP BEFORE INSERTING IN THE TYPEWRITER. WHEN READY TO REMOVE CARBONS, SIMPLY PULL FROM THE TOP, HOLDING THE ORIGINAL AND COPIES BY THE EXTREME LOWER MARGINS. DO NOT SALVAGE THE CARBONS--THE TIME SPENT WILL OFFSET TYPING SAVINGS.

### WHAT STOCKS ARE AVAILABLE?

PRESENTLY LETTEREX IS STOCKED IN SINGLE SHEETS ONLY, IN WHITE, GREEN, AND YELLOW. SHOULD YOU CONSIDER IT PARTICULARLY ADVANTAGEOUS TO USE PREASSEMBLED SETS, CONSIDERATION WILL BE GIVEN TO PROCURING LETTEREX IN THIS FORM. CONTACT THE REPORTS AND CORRESPONDENCE MANAGEMENT BRANCH, MANAGEMENT STAFF, EXTENSION [REDACTED] A REPRESENTATIVE WILL BE PLEASED TO DISCUSS ANY OF YOUR CORRESPONDENCE PROBLEMS WITH YOU.

25X1A

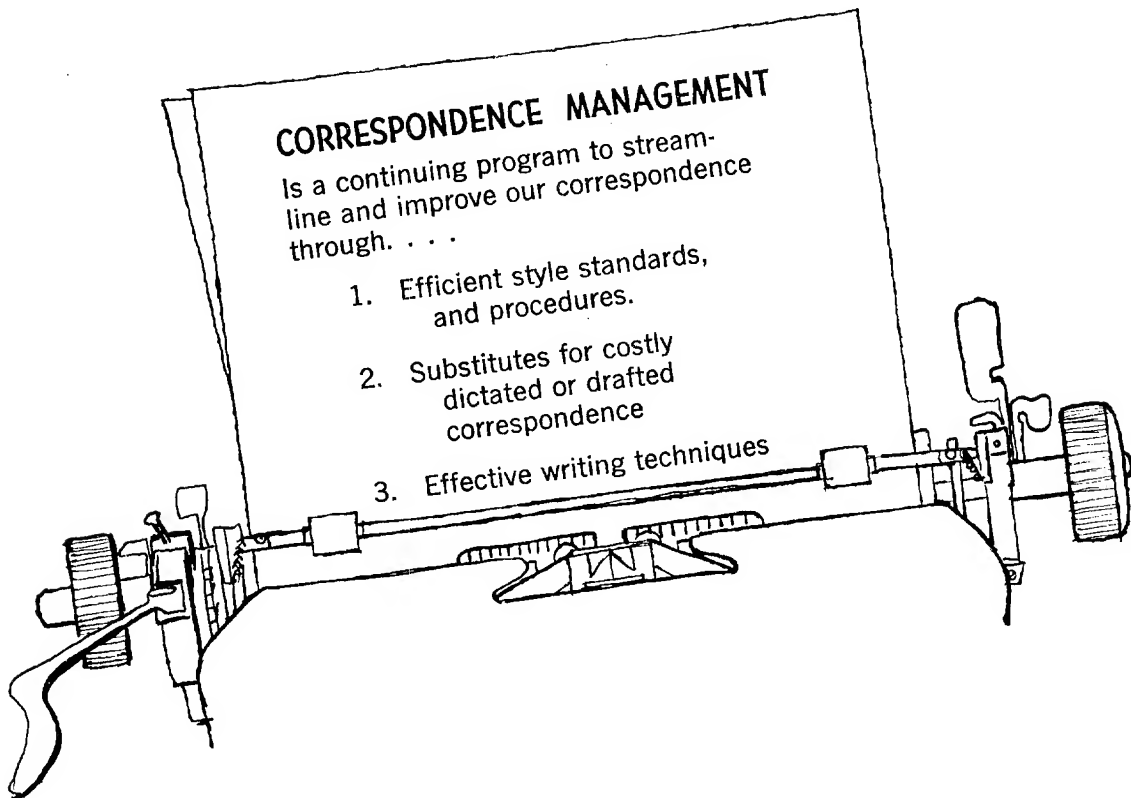
# CORRESPONDENCE MANAGEMENT



MANAGEMENT STAFF  
RECORDS MANAGEMENT DIVISION  
NOVEMBER 1954

*Exhibit L*





THE RESULTS...

- ▶ BETTER correspondence prepared by speedier, simpler, and more economical means.
- ▶ LESS correspondence to manage, dispose of, and store.

CORRESPONDENCE MANAGEMENT IS A PREVENTIVE AND CORRECTIVE TOOL TO BE APPLIED AT ONE OF THE MAIN ROOTS OF OUR RECORDS CREATION PROBLEM. THUS IT IS A VITAL PART OF THE AGENCY'S RECORDS MANAGEMENT PROGRAM.

Approved For Release 2001/11/16 : CIA-RDP78-00433A000100150006-0  
**HOW DOES CORRESPONDENCE MANAGEMENT MEET THE RECORDS CREATION PROBLEM?**

The written word is expensive! Drafted or dictated correspondence costs from \$1.50 to \$2.00 per page. A glance at your reading files (and some simple multiplication) will quickly tell you that a major cost is involved.

**BUT CORRESPONDENCE COSTS CAN BE CUT!**

- ▶ Rewrites and retypes can be avoided.
- ▶ Routine dictated or drafted correspondence can be replaced by less expensive substitutes.
- ▶ The creation of nonessential copies can be prevented.

Here's how you can make correspondence management work for you.

1. **ADHERE TO AGENCY STYLE STANDARDS AND CORRESPONDENCE HANDLING PROCEDURES.**

Uniformity is essential to efficient correspondence operations. It prevents confusion and misunderstanding and thus speeds work production. Faster training and increased utilization of personnel also result.

Agency correspondence standards provide this uniformity. They were adopted from many tested systems and a consideration of Agency-wide preferences and needs. These standards will be revised when necessary. You can help! Your suggestions for their improvement will always be welcome.

2. **STRIVE FOR A STREAMLINED EFFECTIVE WRITING STYLE.** Here are a few tips.

**USE...**

- Short words--about 165 syllables to 100 words.
- Short sentences, averaging 17 to 23 words.
- Personal references whenever possible.
- The ACTIVE rather than the passive voice.
- A clear, concise, sinewy sentence structure.

**AVOID USING...**

- Annoying governmental jargon, trite phrases, and obsolete expressions.
- Flowery or 'high hat' language.
- Negative statements.
- The overworked preposition.

APPLY...

The four "S's"—Simplicity, Sincerity, Shortness, and Strength.

Concise, clear writing has a far reaching effect. Less time is needed to read and understand it. Misinterpretations are avoided; good relations are maintained. We can't all be literary masters. We can strive, however, to rid our writing of the more common barriers to effective communication.

3. USE FORM LETTERS (OR MEMOS) AND PATTERN CORRESPONDENCE WHENEVER POSSIBLE. They eliminate...

UNNECESSARY  
DICTATING



UNNECESSARY  
TYPING



UNNECESSARY  
REVIEWING



UNNECESSARY  
FILING

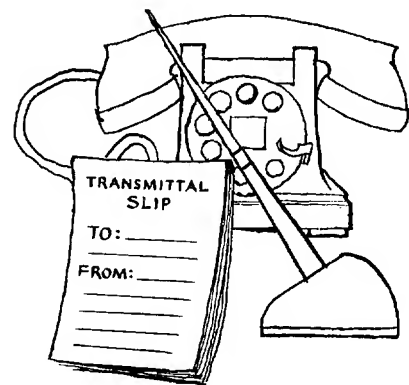


They speed up operations and simplify training by standardizing repetitive procedures.

4. USE A LESS EXPENSIVE SUBSTITUTE FOR TYPEWRITTEN CORRESPONDENCE WHENEVER POSSIBLE.

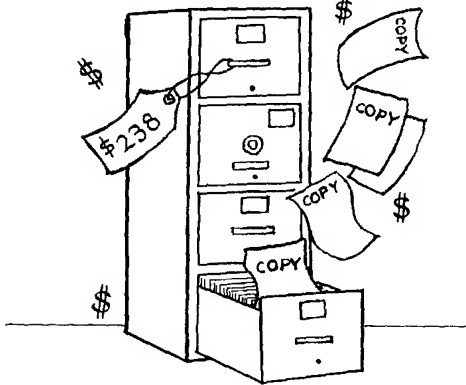
Is a typed memo always necessary? If not, dash off a note by hand on Standard Form No. 64 (the blue half sheet Office Memorandum) or on a transmittal slip.

How about those transmittal memos you've been using? Are they all necessary? Perhaps a hand-filled "buck slip" will do. Or better still, consider revising the format of the material being transmitted to provide spaces for "To," "From," and "Signature," and eliminate the transmittal correspondence entirely.



Does every instruction or decision have to be in writing? Let's handle more of our routine business by telephone, or personal contact if convenient.

5. BE SURE EVERY COPY IS NEEDED.



Copies are costly! They add to the volume of records the Agency must handle, store, and dispose of. They slow down typing operations. Often typing and proofreading time is doubled when that "one extra copy" makes two typings necessary. Put a price tag on each copy. Route a single one to several offices if time and circumstances permit.

**COUNT YOUR COPIES; MAKE YOUR COPIES COUNT!**

### HOW IS CORRESPONDENCE MANAGEMENT ADMINISTERED?

It is proposed that correspondence management be administered throughout the Agency on a decentralized basis--that is, through area programs serving specific components. The Reports and Correspondence Management Branch, Management Staff, will provide staff guidance in planning and conducting these area programs.

Let's briefly see how an area program is conducted.

#### STEP 1 - PLAN YOUR FACT FINDING

You'll need to get facts by several means. Consider these methods in your plans...

- ▶ An inventory of unanswered correspondence.
- ▶ Employee interviews.
- ▶ Observations of the flow and handling of correspondence.
- ▶ Analyses of sample correspondence. Two sources are generally available--reading files or extra copies collected over a sampling period.

STEP 2 - GET ALL THE FACTS

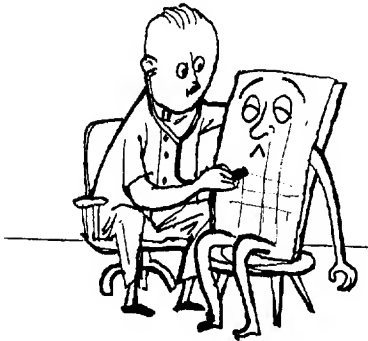
You'll want answers to the following questions about your correspondence...

How does it flow to and from your office? What is the average time lapse between its receipt and the release of a reply or acknowledgement? What percentage is dictated or drafted? How much is of such a repetitive nature that form or pattern correspondence could be used? Upon review, what percentage is returned for rewrite or retype? To what extent is it below average in quality? How much could be replaced by informal notes or personal contact? Are unnecessary copies being prepared?



STEP 3 - ANALYZE AND IMPROVE

Look for ways to remove these barriers to the flow and production of correspondence...



Nonessential control, review, and concurrences.

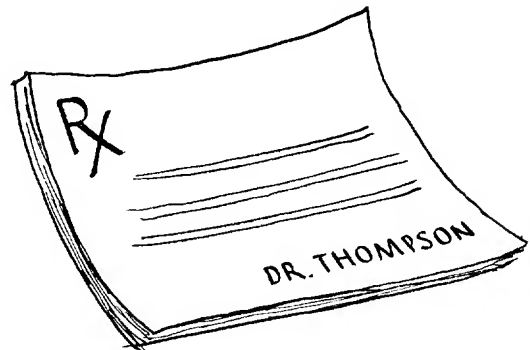
Undefined quality standards.

The preparation of nonessential copies.

Nonconformance with standard Agency styles and correspondence handling procedures.

Your analysis will also disclose how form letters (or memos), pattern correspondence, and other cost-cutting substitutes for dictated correspondence can be used. With standards furnished by the Management Staff you will be able to determine writing faults and how to correct them. Plans for a continuing correspondence management program should also be laid.

Correspondence management, like a prescription, contains several remedial ingredients. A Staff member will be pleased to discuss correspondence management with you and recommend a program to meet your needs. Call [REDACTED]



RESTRICTED  
 Approved For Release 2001/11/16 : CIA-RDP78-00433A000100150006-0

LOGISTICS  
 12 October 1953

## SUPPLY

## STANDARDIZATION OF FILING SUPPLIES

1. Standardization of the specifications on supply items of general Agency usage will effect substantial economies in procurement and stock-keeping. Such standards have now been established for the following filing supplies:

<u>Item</u>	<u>Stock No.</u>
a. Card, guide, file, pressboard, angular metal tab, 1/3 cut with lower projection:	
(1) 1st position, legal	7530-005-4440
(2) 2nd position, legal	7530-005-4441
(3) 3rd position, legal	7530-005-4442
(4) 1st position, letter	7530-005-4433
(5) 2nd position, letter	7530-005-4434
(6) 3rd position, letter	7530-005-4435
b. Insert, metal tab for 1/3 cut guide cards	7510-005-4443
c. Folder, file, kraft, square cut, plain tab, reinforced, 11 point:	
(1) Legal-size	7510-005-4436
(2) Letter-size	7510-005-4437
d. Folder, file, kraft, square cut, plain tab reinforced, 11 point, with fasteners in 1st position:	
(1) Legal-size	7510-005-4438
(2) Letter-size	7510-005-4439

RESTRICTED

## Security Information

LOGISTICS

12 October 1953

ItemStock No.

- e. Folder, file, kraft, square cut, plain tab reinforced, 11 point, with fasteners in 1st and 3rd positions:

(1) Legal-size

7510-005-4920

(2) Letter-size

7510-005-4921

2. Offices should continue to requisition the file folders and guides they are currently using. When present supply stocks are exhausted, requisitions will be filled with the above standard items. Requisitions thereafter should specify standard items.

3. Nonstandard items may be requisitioned only where special use requirements exist. At such time as the Logistics Office notifies Agency Offices that present supplies of nonstandard items are exhausted, requisitions for nonstandard items shall be accompanied by written justification to the Logistics Office concurred in by the Records Management and Distribution Branch, General Services Office. Present usage of a specific type of folder or guide is not of itself considered sufficient justification for deviation from the established specifications.

FOR THE DIRECTOR OF CENTRAL INTELLIGENCE:

L. K. WHITE  
Acting Deputy Director  
(Administration)

DISTRIBUTION: AB

25X1A

RESTRICTED  
Security Information

25X1A

LOGISTICS  
13 November 1953

SUPPLY

PROCUREMENT OF LETTER- AND LEGAL-SIZE FILING CABINETS

1. Effective upon publication of this Notice, the following standards are established for the procurement of letter- and legal-size filing cabinets.

a. Cabinets without locks. Procurement of correspondence type filing cabinets will be restricted to standard five-drawer legal- or letter-size cabinets. The cabinets established as standard are equipped with guide rods and have 24-inch drawers. Requisitions for legal-size cabinets will not be honored unless accompanied by a justification stating that an estimated 20 percent or more of the material to be filed therein is of legal size. If it is estimated that less than 20 percent of the material is of legal size, the justification should state the reason why letter-size cabinets cannot be used.

b. Cabinets equipped with combination locks. Purchases will be limited to the standard four-drawer combination lock legal- or letter-size cabinets, depending upon the size of the record material to be filed. Requisitions for the legal-size cabinets will include a justification such as described in paragraph a. above. The cabinets will be of a standard and type to meet the security requirements of the Agency.

2. Where feasible, the files of organizational units should be centralized and various series of files combined so as to permit the use of correspondence type filing cabinets without locks in vault areas instead of the expensive type of equipment with a combination lock. The approval of the Security Office is required for the establishment of a vault area.

FOR THE DIRECTOR OF CENTRAL INTELLIGENCE:

L. K. WHITE  
Acting Deputy Director  
(Administration)

DISTRIBUTION: AB

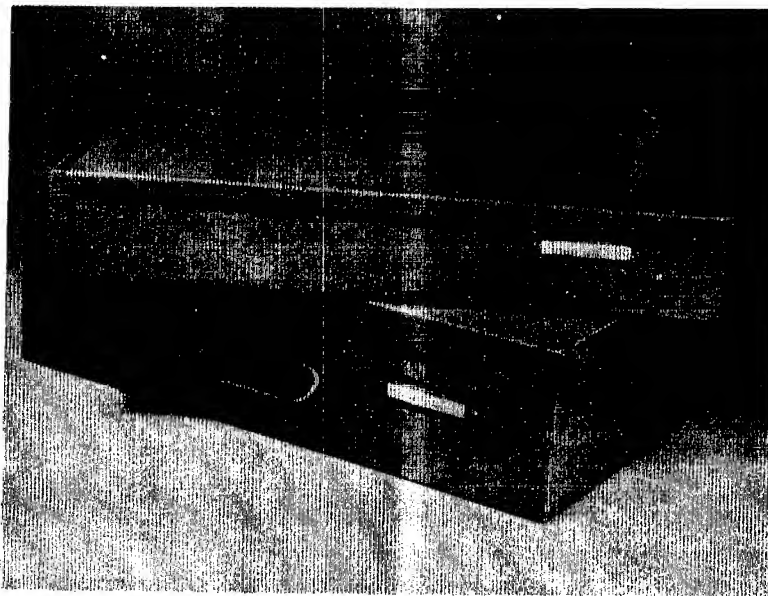
RESTRICTED



## CENTRAL INTELLIGENCE AGENCY

SECURITY DESK TRAYS PRESENTED FOR YOUR USE AS  
A FEATURE OF THE AGENCY'S RECORDS MANAGEMENT PROGRAM

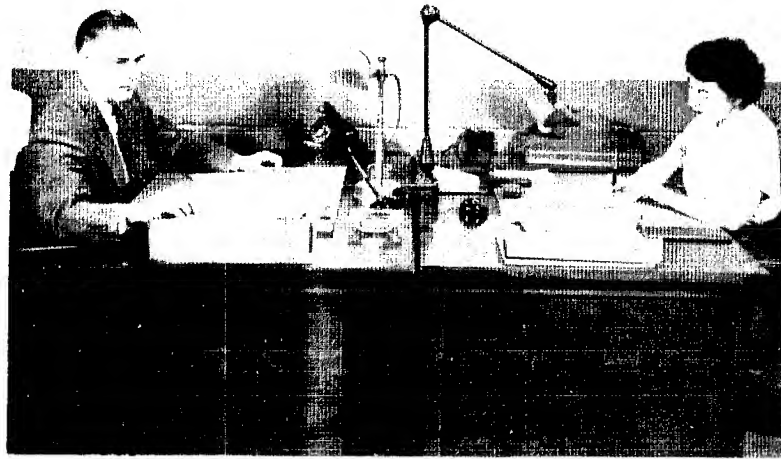
Security Desk Trays



The security desk trays shown above, were developed by the Agency for the storage of your day-to-day working papers. They offer a number of advantages over the standard open-top trays and their general use throughout the Agency is recommended. Please review the advantages illustrated on the succeeding pages. Your Area Records Officer will be glad to discuss your problems and procurement and use of the boxes with you. Additional information may be obtained by calling the Records Services Division, GSO, Extension [REDACTED]

STATOTHR

Daytime Use of Security Desk Trays by Secretaries,  
Clerks, Analysts, Supervisors and Executives

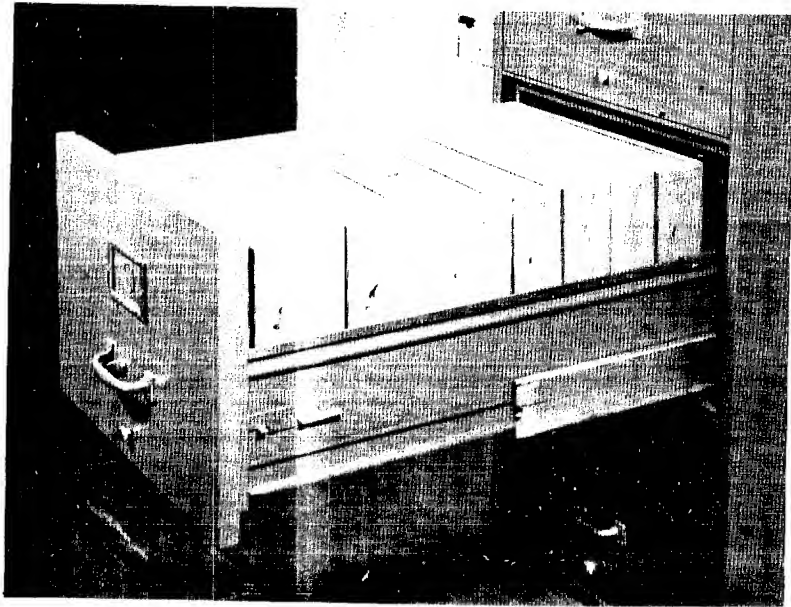


Security desk trays are the same general size as the usual open-top desk trays but are available in both 2½" and 4" depths. The 4" box is provided for persons whose work requires the retention at hand of more material that can conveniently be packed in a regular desk tray when putting current work away for night storage.

The trays will be available in both gray and mahogany-toned steel. Both top and bottom are covered with anylon padding to prevent marring and scratching desks. The top is removable and is easily put out of the way by placing under the tray when in use.

The top is equipped with a pick-resistant key lock for protection when the user is momentarily away from his desk. However, this does not eliminate the necessity for complying with existing security regulations concerning the guarding and handling of classified documents.

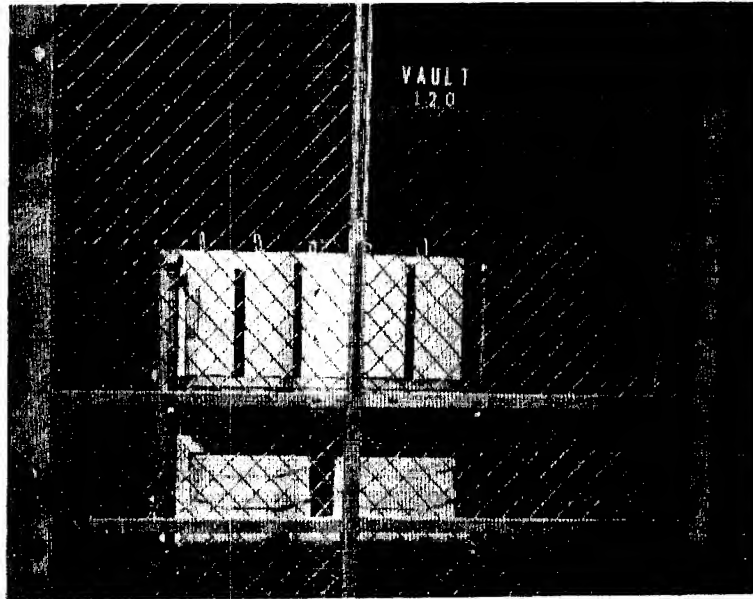
Consolidated Night Storage in Safe Cabinets



In offices where vaulted areas are not available, security desk trays permit the overnight storage of material for from 6 to 9 persons in a single safe drawer, dependent on the size boxes used. There is a name plate on the side for the ready identification of the individual users.

A considerable portion of the drawer space of all safe cabinets are used for overnight storage. An honest effort to reduce overnight storage requirements will afford considerable economies in the Agency's procurement of additional safes and will make your office more comfortable by reducing the space required for new safes or by permitting the transfer of unneeded safes.

Overnight Storage of Security Desk Trays in Vaulted Areas



When vaulted areas are available or can be established, it is strongly recommended that they be used for the overnight storage of day-to-day work papers of nearby personnel. This will eliminate the uneconomical use of expensive safes and reduce security risk through the reduction of the number of locks that can be left open. The pick-resistant locks on the boxes are an assurance to the users that their material cannot be tampered with or examined by other persons having access to the vaulted areas after hours or during the users absence.